

Annual Program Statement APS-111-13-000001, Economic Prospects for Armenia-Turkey Normalization



Issuance Date:
Closing Date:

February 01, 2013
October 15, 2013, 17:00 PM Local Time

Subject: **Annual Program Statement APS-111-13-000001
Economic Prospects for Armenia-Turkey Normalization**

Ladies and Gentlemen:

The United States Government, represented by the United States Agency for International Development (USAID) Mission in Armenia, invites applications from **Armenian** organizations to partner with Turkish counterparts to promote mutually beneficial economic partnerships and linkages between Armenian and Turkish organizations and businesses that will yield tangible and sustainable results for longer-term economic development/trade and Armenia-Turkey reconciliation prospects.

The total anticipated funding level for this activity is \$1,000,000 with the expected period of performance for awards not to exceed 24 months. However, a shorter performance period for each activity can be considered based on the proposed technical approaches and targets set by applicants. Subject to availability of funds, the Government intends to provide funding to multiple assistance awards to local Armenian organizations whose applications conforming to this APS are the most responsive to the objectives set forth in this APS in the range of \$100,000 to \$250,000 per individual award. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, and (d) waive informalities and minor irregularities in applications received.

Applicant(s) under consideration for an award that have never received funding from USAID will be subject to a pre-award review.

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer.

Award will be made to responsible applicant(s) whose application(s) best meets the requirements of this APS and the selection criteria contained therein. Issuance of this APS does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application.

For the purposes of this APS, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer."

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This APS and any future amendments can be downloaded from <http://www.grants.gov/>. Select “Find Grant Opportunities,” then click on “Browse by Agency,” and select the “U.S. Agency for International Development” and search for the APS. If there are problems in downloading the APS from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

Any clarification questions concerning the APS should be submitted in writing by the dates as specified below and under the *Section III, Application and Submission Information*, to Narine Sarkisian, Acquisition and Assistance Specialist, via email at nsarkisian@usaid.gov, and copy Armen Yeghiazarian, Acquisition and Assistance Specialist, via email at ayeghiazarian@usaid.gov.

Applications must be submitted in electronic form in addition or instead of the hard copies to the attention of Narine Sarkisian, Acquisition and Assistance Specialist, USAID/Armenia at nsarkisian@usaid.gov and copy Armen Yeghiazarian, Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov.

This is an Annual Program Statement and applications are due to USAID/Armenia on October 15, 2013, 17:00 PM Local Time. However, USAID will initiate review of applications and will make the awards in two stages, according to the following schedule:

- **Stage I (with total available funding up to \$500,000):**
Applications received from the initial posting date through March 18, 2013, 17:00PM Local Time, will be reviewed and considered for award in Fiscal Year 2013, subject to availability of funds.
APS Clarification Questions Due Date for Stage I is February 21, 2013 17:00PM Local Time.
- **Stage II (with total available funding up to \$500,000):**
Applications received from March 19, 2013 through October 15, 2013, will be reviewed and considered for award in Fiscal Year 2014, subject to availability of funds.
APS Clarification Questions Due Date for Stage II is August 15, 2013 17:00PM Local Time.

If the available funding is committed before the closing date, USAID will amend this APS to note that applications will no longer be reviewed. Late applications will not be considered for award.

Sincerely,

Jonathan Chappell
Regional Agreement Officer
USAID/Caucasus

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SECTION I: FUNDING OPPORTUNITY DESCRIPTION

PROGRAM DESCRIPTION

USAID/Armenia Program Objectives and Purpose of APS

U.S. policy supports Armenia's transition into a stable partner at peace with its neighbors, fully integrated into the regional economy, where principles of democracy are respected, the benefits of economic growth are shared by all segments of society, and the potential for Armenia's human capital development is fully realized.

Unresolved historic issues remain a significant barrier to normalized relations among neighboring countries in the South Caucasus region, hindering the development of positive economic and diplomatic relations. One of the key USG priority goals in the region is to facilitate and encourage the development of productive and peaceful relations between Armenia and its neighbors, and to facilitate Armenia's full economic and political integration within the wider region. Closed borders place a continued strain on social, cultural and personal ties, and negatively affect the security and economic development of Armenia. They reinforce monopolized economies, high transportation costs, an unstable investment climate, unregulated migration flows, an inability to build on each country's competitive advantages, and a lack of opportunities to engage in regional civil society initiatives.

Armenia relies heavily on a single neighbor, i.e. Georgia, to reach European trading partners. The August 2008 Russia-Georgia conflict, however, exposed the vulnerability of Armenia's critical supply routes through Georgia and the economic repercussions that geopolitical changes in Georgia can have on Armenia. The conflict also highlighted the potential benefits of a border opening with Turkey in terms of alternative and more efficient trade routes and market access.

Turkey's declared foreign policy of "zero problems with neighbors" provided a unique opening for improving relations with Armenia. The 2008 football diplomacy that Presidents Sargsian and Gul engaged in was a promising start. The subsequent diplomatic efforts, mediated by Switzerland and supported by the United States, France and Russia, aimed at opening the border, and resulted in the signing of two historic protocols on October 9, 2009. The protocols detailed the path towards the establishment of official diplomatic relations and normalization of relations on other economic and political fronts. This diplomatic breakthrough, however, soon came to a halt and eventually to an indefinite freeze after the parliaments did not ratify the protocols. With the geopolitical developments sparked by the Arab Spring, the issue of Armenia-Turkey reconciliation has gradually faded away, if not entirely disappeared, from the Turkish foreign policy agenda. Armenia's position that the ball is in Turkey's court and that the protocols should be signed without preconditions has not changed.

In the context of the current stalemate, created by the aforementioned political impasse, the challenge is to maintain and intensify support for reconciliation among key non-state actors. Expanded and strengthened partnerships among influential Armenian and Turkish professional, business and civil society groups that are supportive of the reconciliation process are essential. Such efforts will provide the necessary groundwork to influence key decision-makers to make Armenia-Turkey reconciliation a policy priority. Based on lessons learned from USAID's

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experience with the Support to Armenia-Turkey Rapprochement project, the current project targets actors operating in the economic sphere on both sides of the border and focuses on the promotion of economic linkages and partnerships in support of addressing obstacles to such linkages.

Under this APS, USAID is inviting applications from Armenian civic organizations (think-tanks, business-oriented NGOs, professional groups, etc.) focused on trade promotion and economic liberalization, and businesses to partner with Turkish counterparts in support of mutually beneficial partnerships that will foster longer-term economic development and Armenia-Turkey reconciliation.

The APS allows for a range of ideas, focusing on various mutually-beneficial partnership opportunities and economic prospects to foster Armenia-Turkey reconciliation. Priority will be given to applications that target a specific area/gap/issue in the economic realm that will contribute to the development of the physical and institutional infrastructure necessary to promote economic cooperation and trade relations. Proposed activities will provide a roadmap (log frame) showing the incremental change the proposed activity and approach will bring toward the higher level goal of contributing to reconciliation and rapprochement. Additionally, all proposed activities will provide a feasibility analysis of the proposed activity for the Armenian and Turkish settings, also covering the approach of tackling the issue of asymmetry between the two states and societies.

While there is considerable flexibility in terms of which types of ideas will be considered, some key factors are expected to be considered throughout the applications:

- **Partnerships with Turkish counterparts:** identified partnerships with Turkish organizations/entities and demonstrated buy-in of both sides for a jointly-designed activity and approach. Successful applications will demonstrate the feasibility of project activities and results relevant to the realities of each society and the current politico-economic context;
- **Tangible and sustainable results:** demonstrated potential to yield tangible and sustainable results for longer-term economic development/trade and reconciliation prospects.

The project will encourage the: (1) involvement of women entrepreneurs and/or women-led groups in partnerships; and (2) engagement of non-traditional partners, such as Diaspora groups and actors outside Yerevan and Istanbul/Ankara.

Where relevant, activities will provide a strategy and an action plan for elevating the subject issues to a policy level and reaching out to key actors on both sides. Activities will also address the tactics for broader outreach and awareness on the results of the proposed activity in both countries through different media platforms.

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Expected Project Results

The overall expected result of this project is: increased mutually beneficial economic partnerships and linkages between Armenian and Turkish organizations to promote longer-term economic development and Armenia-Turkey reconciliation. Some illustrative **results** from the project could include:

- Increased lobbying efforts with regulators/governments on both sides of the border regarding simplification of trade procedures, including customs, shipping, and commercial licensing, between Turkey and Armenia;
- Increased dialogue on the formation of Turkish-Armenian joint business ventures;
- Increased Armenian exports to Turkey;
- Increased number of platforms for civil society and businesses to lobby for improved transportation linkages, including flights, between Turkey and Armenia, as well as increased routes for Armenian goods transiting Turkey;
- Increased tourism of Armenians to Turkish historical sites; increased tourism of Turkish visitors to Armenian historical sites; increased regional tourism covering both Turkish and Armenian historical sites;
- Increased empirical and research-based data on the potential impact of cross-border cooperation for different sectors (e.g. through sectoral feasibility studies, price comparisons for Armenian exports to Turkey, etc.);
- Increased capacity of civil society, professional and business groups from bordering communities to engage in promotion of cross-border economic cooperation;
- Increasingly active lobbying efforts from Turkish civil society and businesses for trade barriers/ obstacles to be removed;
- Increased awareness of Armenia as a potential business opportunity/ lucrative markets, notably within Turkey's eastern regions.

SECTION II. ELIGIBILITY INFORMATION

Partner Eligibility Criteria

USAID/Armenia casts a wide net for partners under this program. As a result, eligibility criteria are flexible to welcome new types of partners. Potential partners include Armenian registered organizations owned and operated by Armenians, such as private businesses, business and trade organizations, think-tanks, business-oriented NGOs and private for-profit companies willing to forego profit. Potential local private for-profit applicants should note that the payment of fee/profit to the prime recipient under grants and cooperative agreements is not allowed.

Only those applications that identify agreed upon partnerships with Turkish counterpart organizations will be eligible for award.

To be considered eligible to apply under this APS, the prime applicant must satisfy all conditions below:

- Be organized under Armenian laws;
- Have its principal place of business in the Armenia;
- Be majority owned by individuals who are Armenian citizens or lawful permanent residents of the Armenia or be managed by a governing body, the majority of whom are Armenian citizens or lawful permanent residents of the Armenia and;
- Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the Armenia.

The term “controlled by” means a majority ownership or beneficiary interest as defined above , or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization’s managers or a majority of the organization’s governing body by any means, e.g., ownership, contract, or operation of law. “Foreign entity” means an organization that fails to meet any part of the “local organization” definition. Government controlled and government owned organizations in which the recipient government owns a majority interest or in which the majority of a governing body are government employees, are included in the above definition of local organization.

USAID will not accept applications from individuals.

In addition, applications proposing partnerships with the following categories are particularly encouraged:

- Women entrepreneurs and/or women-led groups.
- Non-traditional partners, such as Diaspora groups and actors outside Yerevan and Istanbul/Ankara.

Applicants selected for funding that are first-time recipients of USAID funds, may have to undergo pre-award financial and management reviews.

Eligibility Documents

Subject to the conditions for eligibility provided above, the applicant will submit official documentation of its organization’s formal legal status, as follows:

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- State registration certificate and;
- By-laws.

Activity Eligibility Criteria

The primary objective of activities under this APS is to increase mutually beneficial economic partnerships and linkages between Armenian and Turkish organizations to promote longer-term economic development and Armenia-Turkey reconciliation.

To be considered for funding under this program, proposed activities will meet the following requirements:

- have clearly defined objectives that support the overall objective of this program, and offer the prospect of significant impact in terms of longer-term economic/trade development and Armenia-Turkey reconciliation;
- identify partnerships with Turkish organizations/entities and demonstrate the buy-in of both sides for a jointly-designed activity and approach;
- provide a feasibility analysis of the proposed activity from a technical, financial and current politico-economic perspective, with results relevant to the realities of both Armenia and Turkey; and
- operate in the territory of the Republic of Armenia and/or Turkey.

Applications that demonstrate partner contributions are encouraged and will receive favorable consideration for awards. Applications will need to specify clearly what each party is contributing and indicate the level and kind of support with specific results to be achieved.

Other

In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new local partners.

When considering making an award to a potential partner with limited or no previous USAID experience, USAID will undertake necessary pre award reviews to determine the organization's "responsibility" as discussed below. The resultant award to this organization may take some time. The applicant should take this into account and plan their implementation dates and activities accordingly.

"Responsibility" of Applicant

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is "responsible." A positive responsibility determination means that the applicant possesses or has the ability to obtain the necessary management and technical competence to plan and carry out the program to be funded, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

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SECTION III. APPLICATION AND SUBMISSION INFORMATION

Address to Request Application Package

This application is found on the internet at www.grants.gov. Potential applicants that cannot download application materials electronically may request paper copies of the APS by contacting:

Narine Sarkisian
Acquisition and Assistance Specialist
Office of Acquisition and Assistance
USAID/Armenia
1-st American Avenue
Yerevan 0082 Armenia
Tel: 37410 49-43-64
Email: nsarkisian@usaid.gov

Submission Dates and Time

Applications must be submitted in electronic form in addition or instead of the hard copies to the attention of Narine Sarkisian, Acquisition and Assistance Specialist, USAID/Armenia at nsarkisian@usaid.gov and copy Armen Yeghiazarian, Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov.

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Pre-Award Certifications, Assurances and Other Statements of the Recipient

Applicants must submit the following certifications, assurances, and other statements as part of the application:

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1. A signed certification and assurance which includes:

- a. Certification on Lobbying;
- b. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals;
- c. Certification Regarding Terrorist Financing;
- d. Certification of Recipient;
- e. Key Individual Certification Narcotics Offenses and Drug Trafficking, when applicable,
- f. Participant Certification Narcotics Offenses and Drug Trafficking, when applicable; and

2. Other statements of Recipient

Complete copies of these certifications, assurances, and other statements of the recipient can be found at <http://transition.usaid.gov/policy/ads/300/303mav.pdf> and as Annex A of this APS.

Data Universal Numbering System (DUNS) Number

All U.S. Government recipients and contractors are required to secure a Data Universal Numbering System (DUNS) Number before an award can be made to them. The DUNS is a 9-digit number assigned by Dun and Bradstreet, Inc. (D&B) that uniquely identify the recipient's name and address. It can be obtained from D&B at <http://fedgov.dnb.com/webform>.

Applicants may submit applications under this APS without DUNS numbers. However, the selected applicant will be required to submit its DUNS number before it can receive an award. Therefore, applicants are encouraged to obtain a DUNS number early so that, if selected, award will not be delayed.

Evidence of U.S. Federal Contractor Registration

All U.S. Government recipients are required to be registered with the U.S. Federal Contractor Registration, formerly Central Contractor Registration (CCR), which was the U.S. Government repository into entities must provide information required for the conduct of business with the Government. The CCR is now incorporated into the System for Award Management (SAM). Information about registration procedures may be found at the U.S. Federal Contractor Registration website: <https://www.uscontractorregistration.com/>

Applicants may submit applications under this APS without U.S. Federal Contractor Registration.

However, the apparently successful applicant will be required to register and must submit evidence of registration to USAID. Therefore, applicants are encouraged to register with U.S. Federal Contractor Registration early so that, if selected, award will not be delayed.

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Content and Form of Application Submission

Applications shall be submitted in two separate parts: (a) technical application, and (b) cost or business application electronically to the attention of Narine Sarkisian, Acquisition and Assistance Specialist, USAID/Armenia at nsarkisian@usaid.gov and copy to Armen Yeghiazarian, Acquisition and Assistance Specialist at ayeghiazarian@usaid.gov.

Electronic submissions are required. If an applicant chooses to submit a hard copy in addition to the electronic copy, technical portion of applications should be submitted in an original and 2 copies and cost portions of applications in an original and 1 copy. Telegraphic or fax applications are not authorized for this APS and will not be accepted. The receipt of application will be confirmed within two days. If not, please contact Narine Sarkisian.

The total size of each e-mail attachment should not exceed 3 MBs. Every page of the application must be numbered. The application must have a table of contents. Large graphics files are discouraged. Attached file format must be Microsoft Word, Excel or PDF.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this APS.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

Technical Application Format

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the objectives of this program. Technical applications should take into account requirements of the program and evaluation criteria found in this APS.

The Technical Application shall include:

- a. Cover Page (one (1) page) - Names of the organizations/institutions involved in the proposed application and the lead or primary Applicant clearly identified. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address telephone and fax numbers. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed.
- b. Executive Summary (maximum two (2) pages): This section should summarize the key elements of the Applicant's strategy, approach, expected results and implementation plan.

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- c. Body of Application (maximum 15 pages): This section should include the following:
- i. Activity Description: discussion of the background/problem statement, objectives, technical approach, expected results, a general timeline and how the proposed activity is expected to achieve the overall objective stated in the APS. The narrative should be brief, concise and provide a clear description of what the Applicant proposes to do, where, why, when, how and by whom. The applications should take into account the technical evaluation criteria found in Section B;
 - ii. Relevant organizational experiences, roles, unique capacities/skill, level of effort responsibilities and contributions of recipient and proposed partner organization(s);
 - iii. Feasibility Analysis and Expected Impact: Applicants will be expected to establish a monitoring and evaluation plan, outlining the mechanisms proposed to monitor and measure progress and achievement of expected results.
 - iv. Feasibility Analysis and Exit strategy: a feasibility analysis of the proposed activity from a technical, financial and current politico-economic perspective, with results relevant to the realities of both Armenia and Turkey; as well as a clear sustainability plan to show how activities or impacts will continue in the long term once the activity ends
 - v. Gender Analysis: outlining gender integration issues and how the applicant proposes to address the issues.
 - vi. Technical/Administrative Capabilities in Proposed Work Area: Describe the recipient's technical and administrative experience and capabilities in conducting programs similar to the project being proposed. Describe any teaming arrangement, partnership, consortium or coalition arrangements between applicant and partner organizations.
 - vii. Past Performance: Applicants are requested to list all contracts, grants, and cooperative agreements involving relevant (similar or related) programs conducted by the applicant (or consortium partners) over the past three years. Reference information shall include the location, current telephone numbers, points of contact, overall dollar value of the program, and award numbers if available. A brief description of work performed by the applicant is also required. Newer organizations, or Applicants with no related prior grant awards, remain eligible for consideration and are encouraged to apply.
 - viii. Program Management and Key Personnel: An overview of how the proposed program will be managed. Applicants should identify the key personnel positions for this program. Include position descriptions (including roles and responsibilities), relevant experience and academic and professional qualifications for all key personnel. Applicants should also include a two to three page curriculum vitae as an appendix for each candidate.
- d. Annexes:
- i. A letter of intent from Armenian and Turkish partner organization(s) to engage in the proposed activity, specifying the agreed upon teaming arrangements and jointly designed activity/approach.
 - ii. Curricula vitae of key staff. The annexes may also include relevant information

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about proposed alliance partners.

Items such as graphs, charts, cover pages, dividers, table of contents, and attachments (i.e. key personnel resumes, case studies, table summarizing qualifications of proposed personnel, past performance summary table and past performance report forms) will not be counted against the page limitation.

Applications shall be written in English and printed on standard 8 1/2" x 11" or A4 paper single spaced, using Times New Roman font, regular, size 12, with each page numbered consecutively.

Cost Application Format

The Cost or Business Application shall be submitted separately from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. Include a budget in Excel format with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. Detailed budget notes and supporting justification of all proposed budget line items should be included. In addition, a summary of the budget must be submitted using Standard Form 424 and 424A, available at <http://apply07.grants.gov/apply/FormLinks?family=15>

Budgets must be in U.S. dollars. Budgets to be submitted in unlocked Excel format with all formulas to demonstrate calculations.

The budget shall include:

1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
2. The breakdown of all costs according to each partner organization or subcontractor/subgrantee involved in the program;
3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
4. The breakdown (including valuation method) of the cash and in-kind contributions if any of all organizations involved in implementing this Cooperative Agreement;
5. Potential contributions of non-USAID or private commercial donors to this Cooperative

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Agreement;

6. A procurement plan for commodities.

B. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;

C. Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

2. Projected budget, cash flow and organizational chart; and

3. A copy of the organization's accounting manual.

D. Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.

3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

E. Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

Marking and Branding

Effective January 2, 2006, all USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic

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Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy and Marking Plan that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. The Branding Strategy will be negotiated and finalized as part of assistance award. ADS 320 may be found at the following website:
<http://www.usaid.gov/policy/ads/300/320.pdf>

Specific communications and promotion measures shall be described in the “Branding Strategy” and “Branding Implementation Plan” and specific marking will be described in the “Marking Plan” for this award(s). Please also refer to Section VI, Standard Provisions: “Branding Strategy - Assistance (June 2012)” and “Marking Plan- Assistance (June 2012)”.

SECTION IV. APPLICATION REVIEW INFORMATION

Evaluation Criteria

A. Technical Evaluation

Qualifying applications will be judged and evaluated based on the following criteria (subcriteria are considered equal in weight):

I. Technical Approach

(40 points)

- a. Extent to which the proposed approach is well-conceived, clear, detailed, technically sound and ambitious; feasible to achieve the objectives and special considerations identified in the USAID Program Description; and demonstrating the applicant's understanding of the Armenia-Turkey cross-border issues. Particular attention will be given to a discussion of the issues and the appropriateness of the suggested approach(es).
- b. Extent to which innovative approaches and lessons learned from regional programs in Armenia and elsewhere are identified and effectively included in the proposed approach.
- c. Whether the proposed interventions have the potential to yield tangible and sustainable results for longer-term economic development/trade and reconciliation prospects and are likely to impact decision-makers and the public-at large.
- d. Extent to which the proposed implementation approaches consider the different roles of men and women in Armenian and Turkish societies and cultures; and the extent of involvement of women entrepreneurs and/or women led groups, as well as non-traditional partners, such as Diaspora groups and actors outside Yerevan and Istanbul/Ankara.

II. Project Team

(30 points)

- a. Experience and past performance of key personnel in managing complex international development programs, particularly in conflict management and mitigation area, peace processes, reconciliation policies and practices; their experience in building and effectively supervising a diverse team of employees; demonstrated effective interpersonal skills, creative problem-solving and ethical management; and prior experience in working with international donors in transitional democracies, Armenia, and/or the former Soviet Republics.
- b. Appropriateness of the composition and organizational structure of the project team. That is, the extent to which the application provides a clear, sound, appropriate and cost-effective staffing pattern with responsibilities and authorities among different staff positions adequately and clearly delineated.
- c. Extent to which Turkish citizens and organizations have substantive roles in program implementation.

III. Illustrative Monitoring and Evaluation Plan (10 points)

Clarity, appropriateness, soundness and cost-effectiveness of an illustrative Performance Monitoring and Evaluation Plan for identification of expected intermediate and final results of the proposed activity, including, but not necessarily limited to, a plan for collecting baseline and follow-on data and suggested indicators of program impact and success.

IV. Institutional Capacity and Past Performance (20 points)

- a. Demonstrated organizational capacity of the applicant in managing the proposed activity, including transparent personnel, procurement and financial management systems in complex field operations.
- b. Demonstrated organizational knowledge, capability and past performance of the applicant in quickly yet effectively staffing a project and launching program activities.
- c. Successful track record in implementing and monitoring similar programs, with substantial success and achievement of results

B. Cost Evaluation

Cost Effectiveness and Reasonableness

Demonstrated ability to minimize recurrent costs and maximize cost-effectiveness. Maximizing the percentage of the costs allocated to program delivery as compared to administrative costs will also be a factor in evaluating applications. The cost realism analysis is intended to meet the following three goals:

- Verify the Applicant's understanding of the requirements and regulations;
- Assess the degree to which the cost application reflects the approaches in the technical application;
- Assess the degree to which the cost included in the cost application accurately represents the work effort included in the technical application.

Cost has not been assigned a weight; however, the cost applications of the most highly ranked technical applications will be evaluated for cost effectiveness. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured for a responsibility determination.

Prospective applicants are forewarned that an application with the lowest estimated cost may not be selected if award to a higher priced application affords the government a greater overall benefit. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.

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Cost estimates will be analyzed as part of the application evaluation process. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

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SECTION V. AWARD ADMINISTRATION INFORMATION

Award Notices

Following the completion of the technical and cost evaluation of all applications submitted in response to this APS and responsibility determination, USAID will make an award to the applicant(s) whose application represents the best overall value to the U.S. Government. Best overall value is defined as the expected outcome that, in the Government's estimation, provides the greatest overall benefit in response to the requirement and available funds.

The successful applicant(s) will receive a written notification in the form of an award document signed by the Agreement Officer. The notice will be provided electronically to the applicant's point of contact listed in the application. Pursuant to ADS 303.3.7.1.b, unsuccessful applicants will also be notified electronically.

USAID does not intend to provide formal debriefings for unsuccessful applicants but retains the right to consider informal briefings for said applicants following award.

A description of any deviations from standard provisions

Currently, USAID does not anticipate any deviations from the mandatory or applicable the standard provisions applicable for this award. The standard provisions to be used will be Standard Provisions for Non-U.S. Nongovernmental Organizations

(<http://www.usaid.gov/policy/ads/300/303mab.pdf>).

Reporting Requirements

The title page of all reports to be submitted to USAID must include a descriptive title, the author's name, cooperative agreement number, the project title, the Recipient's name, the name of the USAID office, and the publication or issuance date of the report.

1. Financial Reporting

The recipient must submit the SF- 425 at the same time to the Financial Analyst at vtermargaryan@usaid.gov, the Agreement Officer and the Agreement Officer's Representative (AOR).

Financial Reports shall be in keeping with General Provision "Accounting, Audit, and Records". Advances shall be requested monthly in accordance with the requirements per Payment-Advance (October 1998). At the end of each quarter the recipient shall submit liquidation of advances to liquidate the advances of the previous quarter.

(a) Unless otherwise notified in writing, the Recipient shall submit monthly financial reports to:

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Office of Financial and Administrative Management
USAID/Armenia
1 American Avenue
Yerevan 0082, Armenia
armeniapayments@usaid.gov

(b) The Recipient's financial reports shall include expenditures of USAID grant funds provided hereunder during the reporting period. The format of the financial reports should follow the line items as established in the Budget.

2. Program Reporting

In addition to any reports that may be requested via technical directions under program activities, the recipient shall submit the approval of the USAID Agreement Officer's Representative (AOR) following reports, and when requested, to the USAID/Armenia Agreement Officer.

Quarterly Progress Reports

The Recipient shall deliver quarterly progress reports to USAID/Armenia within 15 days from the end of each three month period. These reports shall collectively discuss the work of the program, highlighting: (1) achievements during the quarter; (2) timeline of events; (3) summary of obstacles and issues and how they are being addressed; (4) project activities planned for the next quarter.

Performance Monitoring and Evaluation Plan

The performance monitoring and evaluation plan will include specific indicators for measuring progress for program activities, and specify how data will be collected and analyzed for each of the indicators.

Final Report

The Recipient shall submit the original and one copy to USAID/Armenia and one copy to USAID Development Experience Clearinghouse at the following address:

- a) Online: <http://dec.usaid.gov/>
- b) Via mail: Development Experience Clearinghouse, M/CIO/KM, RRB M.01-10, U.S. Agency for International Development, Washington, DC 20523
- c) Or e-mail: docsubmit@usaid.gov

The final performance report shall contain the following information: (1) project objectives; (2) strategies and activities undertaken and their corresponding results; (3) a summary of problems/obstacles encountered during the implementation and how the obstacles were addressed; (4) an executive summary of the accomplishments and results achieved; (5) Lessons learned, best practices, comments and other findings from the program, along with recommendations for future programming under each of the program objectives.

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Substantial Involvement

USAID will be substantially involved during the implementation of this Cooperative Agreement in one or more of the following areas of the recipient's activities, but not limited to:

2. USAID approval of the recipient's implementation plans;
3. USAID approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);
4. USAID approval of a program monitoring and evaluation plan;
5. USAID approval of international travel;
6. USAID and recipient collaboration or joint participation, which includes one or more of the following:
 - a. Collaborative involvement of selection of advisory committee members (USAID may also choose to become a member), if applicable;
 - b. USAID concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;
 - c. USAID monitoring of activities to ensure proper program implementation and to permit direction and redirection because of interrelationships with other projects.

For more details refer to USAID ADS 303.3.11 at <http://www.usaid.gov/policy/ads/300/303.pdf>.

Initial Environmental Examination (IEE)

An Initial Environmental Examination (IEE) describing the successful activity's purpose, location, duration and intensity, and considers alternatives and assesses impacts, including cumulative impacts, in light of existing and known proposed activities will be prepared as a part of review and approval process in accordance with USAID Environmental Procedures. The Environmental Compliance requirements will be developed and incorporated in to the award based on the IEE.

SECTION VI. SOLICITATION STANDARD PROVISIONS

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 prefers to have the "USAID Identity," comprised of the USAID logo and brandmark, with the tagline "from the American people" as found on the USAID Web site at transition.usaid.gov/branding, included as part of the program or project name.
 - (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

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attach a copy of the proposed logos.

- (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 announcement, 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. Applicant 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 consider the Branding Strategy's adequacy in the award criteria. The Branding Strategy 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.
 - 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

2. 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://transition.usaid.gov/branding>.
- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no

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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, audio-visual productions, public service announcements, Web sites/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;

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- (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 independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Strategic 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 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 in the award criteria, and will approve and disapprove any exemption requests. The

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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 any approved 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.

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SECTION VII. AGENCY CONTACTS

The Agreement Officer for the resultant award(s) is:

Jonathan Chappell
Regional Agreement Officer
USAID/Caucasus
1 American Avenue
Yerevan, Armenia
Email: jchappell@usaid.gov

The Acquisition and Assistance Specialist is:

Narine Sarkisian
Acquisition Specialist
USAID/Armenia
1 American Avenue
Yerevan, Armenia
Email: nsarkisian@usaid.gov
Tel.: +37410 49-43-64

Annex A

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in

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designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

"The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure."

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3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. Certification Regarding Terrorist Financing Implementing Executive Order 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of [Specially Designated Nationals and Blocked Persons](#), which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware

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and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification -

a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

b. “Terrorist act” means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in

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terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application or
Annual Program Statement No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

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Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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Part III – Participant Certification Narcotics Offenses and Drug Trafficking

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part IV – Survey on Ensuring Equal Opportunity for Applicants

Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis

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upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

See Survey on Ensuring Equal Opportunity for Applicants at the below internet link:

<http://transition.usaid.gov/forms/surveyeo.doc>

Part V – Other Statements of Recipient

1. Authorized Individuals

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.

2. Taxpayer Identification Number (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. Data Universal Numbering System (DUNS) Number

(a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

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- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. Letter of Credit (LOC) Number

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. Procurement Information

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

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TYPE/DESCRIPTION (Generic)	_____
QUANTITY	_____
ESTIMATED UNIT COST	_____

(d) Source If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision “USAID Eligibility Rules for Procurement of Commodities and Services,” indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. “Source” means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, “source” means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, “available for purchase” includes “offered for sale at the time of purchase” if the commodity is listed in a vendor’s catalog or other statement of inventory, kept as part of the vendor’s customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors’ shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor’s catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through “just in time” or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient’s request for the commodity.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED GOODS	_____
PROBABLE GOODS	_____
PROBABLE (Generic)	_____
UNIT COST	_____
SOURCE	_____

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE	_____
INTENDED USE (Generic)	_____
UNIT COST	_____
SOURCE	_____

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers

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of goods and services whose nationality is not in accordance with the Standard Provision “USAID Eligibility Rules for Procurement of Commodities and Services,” indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE SUPPLIER	_____
NATIONALITY	_____
RATIONALE (Generic)	_____
UNIT COST (Non-US Only)	_____
FOR NON-US	_____

6. Past Performance References

On a continuation page, please provide past performance information requested in the RFA.

7. Type of Organization

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. Estimated Costs of Communications Products

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.