USAID
FROM THE AMERICAN PEOPLE

ISSUE DATE: September 16, 2015

QUESTION DUE DATE: September 21, 2015 at 5:00PM (local time- Washington D.C.)

PHASE I RESPONSE DUE DATE: October 8, 2015 at 5:00PM (local time- Washington D.C.)

Subject: Notice of Funding Opportunity Number: SOL-OAA-15-000106

Program Title: Regional and Local Support for Elections and Political Transitions

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications from qualified and eligible regional and local organizations to provide technical assistance and support to strengthen democratic electoral and political processes at national and regional levels. The applicable Catalog of Federal Domestic Assistance (CFDA) number is 98.001, *USAID Foreign Assistance for Programs Overseas*. **Please refer to the Section I (Funding Opportunity Description) for a complete statement of goals and anticipated results.**

Applications in response to this Notice of Funding Opportunity (NOFO) may be submitted only by qualified eligible organizations based in developing countries. Specifically, an eligible organization is one that is: 1) headquartered in, and legally organized under, the laws of a country which is not a member of the Development Assistance Committee of the Organisation for Economic Co-operation and Development; 2) managed by a governing body comprised of a majority of citizens or lawful permanent residents of countries which are not members of the Development Assistance Committee of the Organisation for Economic Co-operation and Development, and 3) if a corporation, is majority owned by individuals who are citizens or lawful permanent residents of countries which are not members of the Development Assistance Committee of the Organisation for Economic Co-operation and Development.

For the purposes of this Notice of Funding Opportunity, a "local organization" is defined as a corporation, a nonprofit organization, or another body of persons that is legally organized with the primary purpose of operating in its country of origin. The definition of "local organization" does not include subsidiaries, affiliates, or member entities of organizations located outside of, or organized outside of, the country where it is domiciled. A "regional organization" is defined as a corporation, a nonprofit organization, or another body of persons that is legally organized with the primary purpose of operating in more than one country within a defined geographical area. The definition of "regional organization" does not include intergovernmental organizations. However, no functional distinction is made between local and regional organizations within the terms of this Notice of Funding Opportunity.

Eligible organizations must also clearly demonstrate in their applications that they meet the technical, performance monitoring, management and personnel, and institutional capacity and past performance criteria described in Section V below. **Please refer to the Section III (Eligibility Information) for complete criteria defining eligibility to apply for this award.**

The successful applicant(s) will be responsible for the overall management of the Regional and Local Support for Elections and Political Transitions Program, including the solicitation, review, negotiation, and selection of competitive proposals from, and the execution and administration of sub-awards and/or contracts with, collaborating institutions to conduct approved activities. Overall, the Recipient will be responsible for ensuring achievement of the program objectives.

Subject to the availability of funds, USAID anticipates making up to three (3) Leader with Associate Awards. A Leader with Associate Award (LWA) is a grant or cooperative agreement that covers a specified worldwide activity. The Leader Award includes language that allows a USAID Mission or other office to award one or more separate awards to the recipient of the Leader Award without additional competition. This is called an "Associate Award." An Associate Award must support a distinct local or regional activity that fits within the terms and scope of the Leader Award. The competition under this NOFO covers both the Leader Award and all subsequent Associate Awards, although applications submitted in response to this NOFO are related to the regional activity to be supported under the Leader Award only. Separate applications specific to each Associate Award will be submitted after the Leader Award is in place, if and when a USAID Mission or other USAID operating unit decides to finance an Associate Award.

The estimated life-of-project budget for the Regional and Local Support for Elections and Political Transitions Program is $37.5 million with a five-year period of performance, of which USAID anticipates awarding up to three (3) Leader Award(s) in the amount of $2.5 million each. The cumulative amount of Associate Awards will not exceed $30 million. The Associate Award figures are estimates, and there is no guarantee regarding the number of Associate Awards or the amount(s) thereof. Associate Awards may be for up to five years in duration and, while they must be awarded during the period of the Leader Award, may extend beyond the end of the Leader Award. **Please refer to the Section II (Award Information) for additional information.**

Cost-sharing (matching) is not required under this NOFO but USAID nevertheless encourages cost-sharing to the maximum practicable extent, and any proposed cost-sharing (matching) will be assessed by USAID as part of determining which applications offer the greatest value. See Section III.B (Cost-Sharing (Matching) of the NOFO for additional information on cost-sharing (matching).

The award(s) resulting from this NOFO will be administered in accordance with 2 CFR 700, 2 CFR 200, Chapter 303 of USAID's Automated Directives System (ADS), relevant U.S. Office of Management and Budget (OMB) Circulars, and the USAID standard provisions for Non-U.S. Non-Governmental Organizations. Further details and internet links may be found in Section I (Funding Opportunity Description) of the NOFO.

Competition under this NOFO will be conducted in two phases:

- Phase I: Concept Note
- Phase II: Full Application

Each applicant shall initially provide USAID with a Concept Note. The Concept Note shall be competitively evaluated against the pre-determined evaluation criterion. The most highly technically qualified Concept Notes will be invited to submit Part II Full Application under this NOFO. Unsuccessful applicants will be notified by November 2, 2015 and provided written feedback. **Please refer to the Section IV (Application and Submission Information) for information on and the overall application process and details on the different application materials required at each stage.**

Prospective applicants shall submit all Concept Notes in writing via e-mail ONLY to cpoling@usaid.gov no later that time and date specified above. **DO NOT SUBMIT CONCEPT NOTES VIA GRANTS.GOV, THEY WILL NOT BE ACCEPTED.**

To be eligible for award, the applicant must provide all information as required in this NOFO and meet eligibility standards in Section III of this NOFO. This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity. Applicants will need to have available or download Adobe program to their computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire NOFO has been received from the internet in its entirety and 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.

The successful Applicant will be responsible for ensuring the achievement of the program objectives. Please read each section of the NOFO.

Please send any questions to the point(s) of contact identified in section IV. 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,

/s/

Mir Ershadullah
Agreement Officer

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SECTION I –FUNDING OPPORTUNITY DESCRIPTION

Regional and Local Support for Elections and Political Transitions

I.A INTRODUCTION

I.A.1 Authority

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance's Center of Excellence on Democracy, Human Rights, and Governance (DRG Center) is seeking to support or stimulate the activities described below, and requests applications from eligible regional and local organizations to provide technical assistance and support to strengthen democratic electoral and political processes at national and regional levels.

I.A.2 Administration of Award Resulting from this NOFO

The prime award and subsequent sub-awards resulting from this NOFO will be administered in accordance with the following:

- Code of Federal Regulations, 2 CFR 700 and 2 CFR 200
- Chapter 303 of USAID's Automated Directives System (ADS 303)
- Office of Management and Budget's Grants Management Circular, OMB Circular A-133
- USAID Mandatory and Required-as-Applicable Standard Provisions for non-U.S. Non-Governmental Organizations found in ADS 303
- Geographic data will be submitted to USAID in accordance with the following:

  1. Office of Management and Budget (OMB) Circular A-16, Executive Order 12906;

  2. Automated Directives System (ADS) 507 (Freedom of Information Act);

  3. Automated Directives System (ADS) 557 (Public Information)

I.B PROGRAM DESCRIPTION

I.B.1 Introduction and Purpose

USAID's DRG Center provides technical leadership, funding and procurement mechanisms to support democratic development around the world. Within the DRG Center, the Elections and Political Transitions Division works to support and encourage competitive political processes as well as political transitions.

The *Regional and Local Support for Elections and Political Transitions Program* will provide a wide array of services and support to strengthen democratic electoral and political processes at national and regional levels. By having local organizations and/or networks made up of several different organizations deliver services on a regional scale through this Program, USAID will increase the sustainability of development assistance in the elections and political transitions arena.

The *Regional and Local Support for Elections and Political Transitions Program* will be managed by the Elections and Political Transitions Division. After the first year, if it is appropriate and based on discussions with USAID regional Bureaus and Missions, the management could be transferred to respective USAID regional Bureaus or USAID regional Missions. Other USG agencies and bodies, including the Department of State and the Millennium Challenge Corporation, could transfer funds to USAID in order to initiate their own programs or participate in joint programs.

The *Regional and Local Support for Elections and Political Transitions Program* will directly contribute to the achievement of USAID Democracy, Human Rights and Governance's Objectives as described in the Foreign Assistance Framework.[1] This Program falls under "Program Area 2.3 Political Competition and Consensus-Building."

I.B.2 Challenges

In established democracies, elections represent a crucial opportunity for citizens to select and hold accountable their leaders. In countries emerging from conflict, timely, transparent, inclusive and credible elections can contribute to conflict resolution and help to consolidate a peace agreement or power-sharing arrangement. Although elections alone do not equate with democracy, democracy cannot be achieved without legitimate elections.

Free and fair elections are indispensable for the regular and peaceful transfer of power between governments and for establishing open and competitive political processes where citizens' voices are heard. While not an exclusive indicator of democracy, an open and competitive electoral system is a general barometer of the health of democratic institutions and values. Transparent and credible elections require a pluralistic and competitive political system, broad access to information, active civil society, an impartial judicial system, and independent government institutions.

During transition periods, elections and other consensus-building processes are key milestones, helping to pave the way for legitimate and representative government institutions. Altering established power structures in transitional environments presents a greater challenge, as typically key elements are missing or weak. Some of these elements include: impartial electoral framework, inclusive dialogue and consensus-building, capacity to administer electoral processes, representative political parties, and citizen access to information.

In developing countries and countries experiencing a political transition, the institutional capacity to carry out elections is often weak. Electoral commissions may not yet exist or they may lack the technical capacity or political will to administer a fair election. Electoral laws may be antiquated. Legislators analyzing or drafting new legislation may lack sufficient knowledge

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[1] For more information on the Foreign Assistance Framework ("F" framework), see http://www.state.gov/f/.

of electoral systems and practices. Citizens may be unaware of their rights and responsibilities as voters and participants in the political process, the mechanics of voting, or the range of parties and candidates from which they can choose. Independent civic groups, if such exist, often lack the resources and the know-how to effectively educate citizens and advocate for democratic reforms.

In these contexts, political parties are often personality-based entities that lack the organizational capacity to campaign nationwide and recruit and train poll watchers. In some countries, domination of the political system and state by one party creates a monopoly over the political space whereby the competition between ideas and ideologies is stifled.

Women and youth remain under-represented as voters, election officials, political leaders, and elected officials in every region of the world. Yet their active participation is essential to strengthening the inclusive and representative character of democratic institutions. At the same time, representation alone is never sufficient to ensure women's empowerment in male-dominated structures. Women and youth's lack of influence over party policy and platform development, limited representation in leadership positions, and marginalization into separate party "women's wings" and "youth wings" all remain challenges to their effective participation.

USAID programs are designed to address these challenges by promoting political competition and consensus building through support to electoral and political processes. The *Regional and Local Support for Elections and Political Transitions Program* will advance country-specific approaches to address these elements, fostering more accountable and responsive political parties and institutions, effective civil society actors, and inclusive electoral systems through expert technical assistance and innovative programmatic activities. While addressing these objectives, the program will aim to advance the capacity of local and regional organizations (or consortium/consortia of such organizations) to deliver innovative, technically sound and effective election and political processes programming in a sustainable manner.

I.B.3 Elections and Political Process Program Objectives

This NOFO seeks applications from qualified regional and local organizations from developing countries to work in their region of expertise, providing technical assistance and support in three or more of the following objectives:

1. Improved enabling environment for electoral governance and political processes
2. Enhanced independence and professionalism of electoral administration
3. Increased citizen participation in elections and political processes, including political transitions
4. Enhanced participation, leadership, and political empowerment of women, youth and other marginalized groups
5. Effective election observation and oversight of electoral processes
6. More representative and competitive multiparty systems
7. Strengthened democratic national and sub-national governance by elected leaders

Applicants are encouraged to include a component – not to exceed 10% of the overall award -- aimed at strengthening the organizational and technical capacity and sustainability of their own organization, or the network/coalition of organizations. Such a component is expected to help achieve the above objectives and also increase their own viability. This component should be based on an assessment of the of the applicant's current organizational capacity , and could comprise a wide number of activities, such as the development of an organizational and technical and capacity-building plan, staff training or targeted consultant services;; or a specific technical assistance package sought from an international partner with which the organization(s) may have worked with in the past.

Objective 1: Improved enabling environment for electoral governance and political processes.

An impartial electoral framework (i.e., constitutional provisions, laws, rules, regulations, and institutions that govern electoral and political processes) is a necessary condition for inclusive, credible electoral processes and representative, democratic political parties.

Anticipated Results

- Improved legal frameworks that promote transparent, competitive elections and foster representative, democratic political parties
- Improved legal structures to promote participation and equitable representation of traditionally marginalized groups in the political process
- Increased awareness of legal frameworks by political parties and citizens
- Increased local capacity to develop and reform legal frameworks
- More substantive and inclusive public dialogue on key issues related to drafting and revising legal frameworks

Objective 2: Enhanced independence and professionalism of electoral administration.

In most countries, electoral administration and related matters are delegated to an authority within a government ministry or to an electoral commission. In order to be credible, the electoral management body must be impartial, transparent, and competent. Likewise, it must have sufficient resources to permit neutral administration as well as professional staff experienced in key areas of electoral administration (voter registration, logistics, voter education, security, vote tabulation and transmission, adjudicating complaints, etc.)

Anticipated Results

- Increased professionalism, independence, and diversity of election officials and poll workers
- More efficient electoral administration
- Increased local capacity to administer elections without donor technical assistance
- Public trust in the electoral authority's actions as impartial and transparent
- Improved, accurate voter registries that can be updated as well as challenged for inaccuracies
- Improved coordination between international organizations, donors, electoral bodies, and law enforcement entities before, during, and after election day
- Improved security for electoral processes and procedures, including the use of information technology systems
- Increased effectiveness of election dispute resolution mechanisms

Objective 3: Increased Citizen Participation in Elections and Political Processes, including Political Transitions

Informed and active citizens help ensure genuine and competitive political processes. Free and fair elections depend on citizen understanding of the electoral system and their political choices, as well as their participation in the process as voters, civic and political activists and candidates. Elections must be inclusive, wherein all constituents are able to participate freely: men and women, urban and rural populations, youth and all ethnic and religious groups. Activities under this objective will also seek to strengthen the role of civil society in increasing civic awareness, garnering public support, and advocating for electoral reforms.

Anticipated Results

- Increased awareness and understanding among citizens about the political system, electoral process, stakes of the election, or specific issues
- Increased awareness and participation of women, youth and other marginalized groups
- Increased citizen demand for issue-oriented elections and government accountability
- Increased civil society oversight of electoral laws and practices
- Greater advocacy for specific proposals, issues, laws, or policies
- Increased collaboration among civil society networks to develop new tools to increase public confidence in electoral processes and outcomes
- Innovative use of traditional and social media, information and communications technology and other context-appropriate tools and activities for civic education, voter education, and citizen mobilization

Objective 4: Enhanced Participation, Leadership, and Political Empowerment of Women, Youth and other Marginalized Groups

This objective is to build more inclusive political processes and increase the meaningful representation and influence of women, youth and other historically disenfranchised groups. Targeted citizens could include women, youth, ethnic or religious minorities, people with disabilities, internally displaced populations, etc. This objective will be accomplished by removing barriers to participation and improving political participation through targeted training, skills development, and effective voter education.

Anticipated Results

- Increased number of women, youth and representatives from other traditionally marginalized groups assuming elected and appointed leadership positions
- Increased participation/representation of women, youth and other historically disenfranchised groups in all electoral processes, organizing bodies, political parties, and monitoring groups
- Increased knowledge among women, youth and marginalized groups about their political and civil rights and responsibilities
- Increased competence and professionalism of women, youth and representatives or other marginalized groups in legislative drafting, constituency representation, and political agenda setting.
- Increased use of advocacy and tools by historically disenfranchised groups to further their agendas

- Elimination or amending of laws and regulations that discriminate against women, youth and other marginalized groups with respect to elections and political processes

Objective 5: Effective Election Observation and Oversight of Electoral Processes
Monitoring electoral processes can reduce the opportunities and incentives for electoral fraud, identify shortcomings in the electoral process, and legitimize a peaceful transfer of power. Recognizing that Election Day is only one component of the electoral process, effective oversight of the process includes sufficient pre- and post-election monitoring. Election monitors may include: nonpartisan citizen organizations and international organizations that evaluate a country's electoral framework and administration against regional and international standards and practices. The media can also serve as a useful watchdog during an electoral process if it has the capacity to produce credible and accurate reports about the preparations for, and the conduct of, elections. Effective monitoring of the electoral process -- by domestic monitors, international observers, , political party poll watchers, or local media -- can lend credibility to the process and the outcome of an election.

Anticipated Results

- Improved oversight of the electoral process, including selection of candidates , candidate and party registration, voter registration, political finance, campaigning voting and counting processes, and complaints adjudication
- Increased acceptance by all segments of the public, political actors, and election administrators of election monitors and their assessments
- Increased use of information and communications technology to improve oversight and monitoring functions (for example, documenting irregularities, fraud, and violence)
- Increased professionalism of domestic observers, political party agents and local media to monitor electoral processes, including more credible and broader dissemination of findings
- Increased legitimacy and reliance upon domestic observers and media as neutral and unbiased watchdogs of the electoral process
- Strengthened oversight and compliance capabilities of electoral bodies, including in the area of political finance

Objective 6: More Representative and Competitive Multiparty Systems

A representative and competitive multiparty system consists of inclusive and accountable parties that are guided by internal democratic rules and procedures. Representative political parties serve many functions. They act as intermediaries between the electorate and the elected; develop platforms for action based on citizen input; and ensure effective communication to constituencies.

Anticipated Results

- Increased institutional capacity of parties (for example, ability to manage finances, organize internal structures, communicate between headquarters and party branches, attract volunteers, train staff and future leaders, and democratically determine policy platforms and party leadership)

- Increased inclusion of women, youth and people of different social backgrounds and marginalized groups
- Increased number of platform-based campaigns, rather than personality-based campaigns
- Increased professionalism and competence of political party poll watchers
- Improved capacities of political parties to form and participate in strategic coalitions.
- Improved political party contributions to good governance, whether in government or the opposition.

Objective 7: Strengthen National and Sub-National Governance by Elected Leaders
Elected leaders must be able to govern effectively and democratically once they take office. Parties and their leaders at the national, regional, and local level need to serve the public, rather than private interests. Legislative bodies need to develop technical skills and standard operating procedures to enhance their ability to develop legislation, play their effective oversight role and communicate effectively with citizens. At the sub-national level, mayors and councils must work together, as well as perform their organic functions, to ensure local communities benefit from their democratically elected government.

Anticipated Results

- Increased professionalism and competence of elected legislators and public officials to govern efficiently in accordance with their mandated authorities
- Improved internal procedures to facilitate transparency, efficient operations and effective government oversight. Improved accountability and responsiveness of elected officials to their constituencies
- Increased capacity of parties to play a constructive role in the legislative process

I.C PROGRAMMATIC APPROACHES

I.C.1 General Information

This NOFO can award more than one Leader with Associate Awards to qualified applicants. Subsequent Associate Awards will also be allowed by USAID Missions, Regional Bureaus, or other U.S. Government Agencies. No further competition, or waiver of competition, is required for any Associate Award within the terms of the Leader Award. Each Associate Award will be a separately funded agreement to support a distinct local or regional activity that fits within the scope of the program description in the Leader Agreement.

An Associate Award may be a grant or a cooperative agreement, even though the Leader Award is expected to be a cooperative agreement. A cooperative agreement must spell out the terms of any substantial involvement by USAID. Associate awards will not contain separate standard provisions. Instead, they will be subject to the standard provisions of the Leader Award.

Associate Awards may be awarded for an initial period of up to five years. Associate Awards may be issued until the Leader Award expires. Associate Awards may be extended for a cumulative term of up to 10 years, but in no event may Associate Awards extend for more than five years past the expiration of the Leader Award. In no case may an Associate Award extend more than five years into the future at any given time.

The Leader Awards made subsequent to this NOFO will include the following estimates, as more fully described in the sections below:

a) Leader Award/s: $ 2,500,000 (per award)
b) Associate Awards: $30,000,000 (cumulative under all Leader Awards made)

These figures are an estimate only. There is no guarantee regarding the magnitude of Associate Awards in dollars or number of awards.

I.C.2 The Leader Award

The Leader Award is designed to support the above objectives. USAID foresees instances where the recipient will be called upon to implement activities in non-presence countries in an urgent fashion. USAID-funded assistance is frequently called upon in times of crisis, conflict, or when unforeseen challenges and opportunities arise. Such assistance is often requested with very short notice. The availability of this option does not preclude USAID from awarding Associate Awards with Department of State and other non-presence country funding.

When a requirement for activities is identified, the USAID Agreement Officer's Representative (AOR) will provide a notification to the recipient and discuss the scope and extent of the proposed activities. The recipient will provide a proposed program description and budget for the activity, which must be approved by the USAID AOR. Once approved, the AOR will issue a formal request that the new activity be initiated under the Leader Award.

Generated costs from technical direction provided by the AOR, must be within the obligated/estimated amount of the award.

I.C.3 Associate Awards

An Associate Award is a separate assistance agreement funded by a USAID Mission or office and awarded to the Leader Award recipient to support a distinct local or regional activity that fits within the scope of the program description in the Leader Agreement.

Associate awards may be awarded by USAID Missions and USAID/Washington offices in order to implement bilateral or regional programs. Associate awards will usually focus on technical development assistance and must support one or more of the program objectives listed in this program description. A total of $30 million is estimated for Associate Awards over the life of this agreement.

The selection of countries and substantive areas by USAID for the Associate Awards will be based on demand from USAID Missions and offices and the regional area of expertise of the recipient(s). The length of activities may vary from a few months to five years. The recipient will likely be programming simultaneously in multiple countries. Activities may involve performing basic assessments to implement fully developed activities that support elections and political processes.

I.D AUTHORIZING LEGISLATION

The authority for the NOFO is found in the Foreign Assistance Act of 1961, as amended. The award/s will be subject to 2 CFR 700 and 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

I.E PROGRAM ELIGIBILITY REQUIREMENTS

Prospective applicants must be able to meet the eligibility requirements described in Section III in order to participate in this Notice of Funding Opportunity (NOFO).

I.F AWARD ADMINISTRATION

The awards will be initially administered through the USAID Elections and Political Transitions Division within the Center of Excellence on Democracy, Human Rights, and Governance. If there is interest, and considered appropriate, a transfer of managerial responsibility could take place in the later stages of the award following discussion with the OAA, respective regional bureaus, and or regional Missions.

[END OF SECTION I]

SECTION II – FEDERAL AWARD INFORMATION

II.A NUMBER OF AWARDS, FUNDING, AND PERFORMANCE PERIODS

As indicated in the cover letter of this NOFO, USAID anticipates making up to three (3) Leader with Associates Awards (LWA). A Leader with Associate Award (LWA) is a grant or cooperative agreement that covers a specified worldwide activity. The Leader Award includes language that allows a USAID Mission or other office to award one or more separate awards to the recipient of the Leader Award without additional competition. This is called an "Associate Award." An Associate Award must support a distinct local or regional activity that fits within the terms and scope of the Leader Award. The competition under this NOFO covers both the Leader Award and all subsequent Associate Awards.

The Leader Award(s) will extend for five years, with a maximum USAID funding level of up to $2.5 million for each Leader Award issued pursuant to this NOFO, to be provided incrementally over that five-year period. In addition, the cumulative amount of Associate Awards issued under all Leader Awards during those five years will not exceed $30 million.

II.B AWARD TYPE AND SUBSTANTIAL INVOLVEMENT

II.B.1 Award Type

USAID intends to award a cooperative agreement for the Leader Award(s) to the responsible applicant(s) whose application, conforming to this NOFO, offers the greatest value in furthering the goals of the program described in Section I of this NOFO. A cooperative agreement is distinguished from a grant by virtue of USAID having substantial involvement in the implementation of the program.

II.B.2 Substantial Involvement Leader Award

USAID will be substantially involved in the implementation of the core program described in Section I of this NOFO, under the Leader Award described in Section II.A above. The intended purpose of the Agreement Officer's Representative (AOR) involvement during the implementation of the program is to assist the recipient in achieving the supported objectives. It is expected that the Agreement Officer will delegate the following approvals to the AOR, except for changes to the Program Description or the approved budget, which may only be approved by the Agreement Officer. Substantial involvement may be inclusive of:

(a) Approval of the Recipient's Implementation Plans

(b) Approval of Specified Key Personnel

(c) Agency and recipient Collaboration or Joint Participation including collaborative involvement in selection of advisory committee members, concurrence on the substantive provisions of sub-awards, approval of the recipient's monitoring and evaluation plans, and/or monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects.

II.C AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for award recipients is 937. (See ADS 310.3.1.1 and ADS 310.3.1.6 for details see http://www.usaid.gov/sites/default/files/documents/1876/310.pdf)

Local procurement is authorized within the parameters specified in 22 CFR 228.40, “Local Procurement.”

[END OF SECTION II]

SECTION III – ELIGIBILITY INFORMATION

III.A TYPES OF ENTITIES THAT MAY APPLY

This program is authorized under Title XII of the Foreign Assistance Act of 1961, as amended.

Applications in response to this Notice of Funding Opportunity (NOFO) may be submitted only by qualified eligible organizations based in developing countries. Specifically, an eligible organization is one that is: 1) headquartered in, and legally organized under, the laws of a country which is not a member of the Development Assistance Committee of the Organisation for Economic Co-operation and Development; 2) managed by a governing body comprised of a majority of citizens or lawful permanent residents of countries which are not members of the Development Assistance Committee of the Organisation for Economic Co-operation and Development, and 3) if a corporation, is majority owned by individuals who are citizens or lawful permanent residents of countries which are not members of the Development Assistance Committee of the Organisation for Economic Co-operation and Development.

For the purposes of this Notice of Funding Opportunity, a "local organization" is defined as a corporation, a nonprofit organization, or another body of persons that is legally organized with the primary purpose of operating in its country of origin. The definition of "local organization" does not include subsidiaries, affiliates, or member entities of organizations located outside of, or organized outside of, the country where it is domiciled. A "regional organization" is defined as a corporation, a nonprofit organization, or another body of persons that is legally organized with the primary purpose of operating in more than one country within a defined geographic area. The definition of "regional organization" does not include intergovernmental organizations. However, no functional distinction is made between local and regional organizations within the terms of this Notice of Funding Opportunity.

Eligible organizations must also clearly demonstrate in their applications that they meet the technical, performance monitoring, management and personnel, and institutional capacity and past performance criteria described in Section V below.

USAID encourages applications from potential new partners. Local and regional organizations may organize consortia for the purpose of applying.

When applying to the solicitation, local and regional organizations are required to attach official documentation of their formal status in their host country.

Applicant must have a DUNS number; if the applicant doesn't have a DUNS number, it is required to obtain one before award (if successful). For information , see ADS 302sao, Guidance for Obtaining a DUNS Number.

The recipient's and sub-recipients' contractors and subcontractors at all tiers must also meet USAID's supplier nationality requirements described in Section III.D below. Please note that it is USAID policy that no profit (*i.e.*, any amount in excess of allowable direct and indirect costs) is payable under the prime award or under any sub-award (*i.e.*, sub-grants and sub-cooperative agreements, but excluding procurement contracts). However, profit is payable by the prime recipient or a sub-recipient to a contractor/vendor if the recipient or sub-recipient is procuring goods or services in furtherance of the program being supported by the award or sub-award. Please refer to the following for additional information: (http://www.usaid.gov/sites/default/files/documents/1868/303sai.pdf).

III.B COST-SHARING (MATCHING)

Leader Award

There is no mandatory level of cost-sharing (matching) for this program; however, USAID encourages cost-sharing to the maximum practicable extent, and any proposed cost-sharing will be assessed by USAID as part of determining which applications offer the greatest value. Cost-sharing or matching means that portion of project or program costs not borne by the U.S. Government. Cost-sharing includes cash and in-kind contributions, and is subject to 2 CFR 700.10 and the USAID standard provision for non-U.S. NGOs entitled Cost Sharing (Matching) which, *inter alia*, requires that cost-sharing be verifiable from the Recipient's records. Cost-sharing or matching is normally associated with contributions from the same prime and sub-recipient sources that also receive USAID funds under an award, but can include contributions from third parties. Failure to meet a cost-sharing requirement can result in the Recipient having to make refunds to USAID or a reduction in future funding.

Associate Awards

Cost-sharing requirements, if any, will be established for each Associate Award by the USAID Mission which finances the Associate Award.

III.C ELIGIBILITY OF GOODS AND SERVICES FOR USAID FINANCING

Leader Award

(a) Applicable Rules

The recipient must comply with USAID's *Rules for Procurement of Commodities and Services Financed by USAID* in 22 CFR 228 in the procurement and long-term lease (as defined in 22 CFR 228.01) of goods and services with USAID funds. These rules govern the *source* of USAID-financed commodities and the *nationality* of suppliers of USAID-financed commodities and services, which must be in a country that is included in the authorized geographic code (see Section III.D.1[c] below). These rules apply to the recipient's procurement contracts (as defined in 2 CFR 200) with vendors and to subcontracts at all tiers under the recipient's procurement contracts.

(b) Sub-Awards

These rules do not apply to sub-awards (as defined in 2 CFR 200.92), but do apply to the procurement and long-term lease of goods and services by sub-recipients (as defined in 2 CFR 200.93) at all tiers, and to those sub-recipients' procurement contracts and subcontracts with vendors at all tiers. These rules do not apply to procurement or long-term lease of goods and services with cost-sharing or program income funds.

(c) Authorized Geographic Code

For the award(s) resulting from this solicitation, the authorized geographic code for the *source* of USAID-financed commodities (other than "restricted commodities," as discussed below), and for the *nationality* of suppliers of USAID-financed commodities (other than restricted commodities) and services (other than ocean and air transportation, construction, and engineering services, as discussed below), is Geographic Code 937. Geographic Codes are described in 22 CFR 228.03 and the Internal Mandatory References to Chapter 310 of USAID's Automated Directives System (ADS 310) entitled "List of Developing Countries", "List of Advanced Developing Countries", and "List of Prohibited Source Countries"

(d) Restricted Commodities

"Restricted Commodities" are certain agricultural commodities, motor vehicles (excluding driver service), pharmaceuticals, condoms and contraceptives, pesticides, used equipment, and non-local purchase of fertilizer. Special rules apply to restricted commodities, and are described in ADS 312.3.3.

(e) Ocean and Air Transportation Services

Ocean and air transportation services will be subject to the requirements of the USAID Standard Provisions for non-US Nongovernmental Organizations entitled "Ocean Shipment of Goods" and "Travel and International Air Transportation," respectively.

Associate Awards

The authorized geographic code for each Associate Award will be established by the USAID Mission which finances the Associate Award.

III.D APPLICANT RESPONSIBILITY

In order for an award to be made, the USAID Agreement Officer must evaluate the risks posed by applicants before making the award as discussed in ADS 303.3.9. This means that the applicant must possess, or must have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

The following criteria are used by USAID in assessing an applicant's "risk:"

(a) Adequacy of Applicant's Program Description, Budget, and Monitoring System.

(b) Adequacy of the Applicant's Financial Resources for Program Performance.

(c) Applicant's Ability to Meet Award Requirements of ADS 303mab at: http://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf.

In the absence of an affirmative "risk" determination, an award can ordinarily not be made, unless the Agreement Officer includes Special Award Conditions designed to minimize the risk to USAID posed by high-risk organizations (see ADS 303.3.9.2). Awards to potential new partners may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their "responsibility." These organizations should take this into account and plan their implementation dates and activities accordingly.

III.E ELIGIBILITY OF ACTIVITIES UNDER USAID'S ENVIRONMENTAL REGULATIONS

Leader Award

(a) Section 117 of the Foreign Assistance Act of 1961, as amended, 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, as codified in 22 CFR 216 and in USAID's Automated Directives System (ADS) 204, 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. The environmental compliance obligations of the Recipient of the award(s) resulting from this NOFO under these regulations and procedures are specified in the following paragraphs.

(b) 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.

(c) No activity funded under the award(s) resulting from this NOFO may 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). (Such documents are hereinafter described as "approved Regulation 216 environmental documentation.")

(d) As part of its annual work-plans, the Recipient, in collaboration with the AOR and BEO, shall review all ongoing and planned activities under the award to determine if they are within the scope of the approved Regulation 216 environmental documentation. If the Recipient 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. Any 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.

(e) The Recipient will be required to use an Environmental Review Form (ERF) or Environmental Review (ER) checklist using impact assessment tools to screen sub-award and contract proposals to ensure the funded proposals will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF or ER checklist is required when the nature of the proposals to be funded is not well enough known to make an informed decision about their potential environmental impacts; yet, due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of these activities cannot proceed until the ERF or ER checklist is completed and approved by USAID. The Recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented. The Recipient will also be responsible for periodic reporting to the AOR, as specified in the award.

(f) The costs of environmental compliance will be reimbursable under the award(s) resulting from this NOFO provided that they are otherwise in accordance with the terms and conditions of the award.

[END OF SECTION III]

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

IV.A OVERVIEW OF APPLICATION AND REVIEW PROCESSES

Competition under this NOFO has two phases: Phase I Concept Note and Phase II Full Application (full application to submitted upon invitation only). All specified times in this NOFO are Washington, D.C. time.

Phase I - Concept Note:

NOFO Phase I Issuance Date:	September 16, 2015
NOFO Phase I Questions Due:	September 21, 2015 5:00 PM
NOFO Concept Notes Due:	October 15, 2015 5:00 PM
Notification to Successful/Unsuccessful Applicants	November 6, 2015 5:00 PM

Phase II – Full Application:

Invitation for Full application sent to Successful Applicants:	November 9, 2015 5:00 PM
NOFO Part II Full Applications Due:	December 16, 2015 5:00 PM
NOFO Full Application Notification To Successful/Unsuccessful Applicants Provided:	January 25, 2016 5:00 PM

Each applicant shall initially provide USAID with a Concept Note. The Concept Note shall be competitively evaluated against the pre-determined evaluation criterion. The most highly technically qualified Concept Notes will be invited to submit Part II Full Application under this NOFO. Unsuccessful applicants will be notified by the date specified above and provided written feedback. Applicants invited to submit Full Applications for consideration in Phase II will be notified of the due date for submission of their Full Application at that time. Full Applications will be due by the date specified above. No Full Application received after the final date specified above will be considered.

USAID's invitation to submit a Full Application does not constitute a commitment by USAID to eventually support the activity. Each invited Applicant's decision whether to submit a Full Application is at its own discretion, and any expenses associated with preparation and submission of the Full Application are solely the responsibility of the Applicant.

USAID intends to make an award(s) to the responsible applicant(s) whose application(s) represents the greatest value to USAID based on the evaluation of Full Applications in accordance with the evaluation criteria set forth in Section V below.

After evaluation of the Full Applications during Phase 2, either: (1) the award will be made without discussions/negotiations; or (2) if deemed necessary or desirable by USAID, verbal and/or written discussions/negotiations will be conducted with applicants that submit the most highly rated applications. After the conclusion of any such discussions, applicants with whom discussions were conducted will, unless otherwise advised, be requested to submit a revised application or addendum to the initial application, which may be re-evaluated against the criteria set forth below in Section V. USAID reserves the right to conduct subsequent rounds of discussions and revised applications/addenda.

Before any award can be made to an apparently successful Applicant, USAID must take additional actions such as making a determination of the Applicant's responsibility (described in Section III.D above) and accepting the Applicant's Branding Strategy and Marking Plan (described in Section IV.B.3.7 below).

USAID anticipates making one or more Leader Awards through this NOFO, but USAID reserves the right to make no award. USAID's decision to make an award is subject to the availability of funds.

USAID encourages applications from potential new partners and the use of innovative and sustainable approaches for addressing development problems.

IV.B GENERAL CONDITIONS AND INSTRUCTIONS

IV.B.1 Definitions

As used herein:

"Discussions" are negotiations that occur that may, at the Agreement Officer's discretion, result in the applicant being allowed to revise its application.

"In writing," "writing," or "written" means any worded or numbered expression that can be read, reproduced, and later communicated, and includes electronically transmitted and stored information .

"Application modification" is a change made to an application before the NOFO's closing date and time, or made in response to an NOFO amendment, or made to correct a mistake at any time before award.

"Revised application/addendum" is a change to an application made after the NOFO's closing date, at the request of or as allowed by the Agreement Officer as the result of negotiations.

"Time," if stated as a number of days, is calculated using calendar days, unless otherwise specified, and will include Saturdays, Sundays, and legal holidays. However, if the last day falls on a Saturday, Sunday, or legal holiday, then the period shall include the next working day.

IV.B.2 Amendments to NOFO

(a) If this NOFO is amended, all terms and conditions that are not amended remain unchanged. Applicants shall acknowledge receipt of any amendment to this solicitation by the date and time specified in the amendment(s).

(b) As of November 1, 2005, the preferred method of distribution of USAID assistance solicitations (*i.e.*, NOFOs and Annual program Statements [APSs]) and amendments to such solicitations is electronically via http://www.grants.gov ("Grants.gov"), which provides a single source for USG-wide competitive grant opportunities. Any future amendments to this NOFO can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the NOFO or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance. It is the responsibility of the recipient of this NOFO and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with Grants.Gov so that as changes are posted to this and other USG (including USAID) assistance solicitations, alerts will be received.

IV.B.3 Point of Contact/Questions

Any questions concerning this NOFO must be submitted in writing via e-mail to Ms. Chelsea Poling, Agreement Specialist, at cpoling@usaid.gov by the due date specified on the cover letter.

NOTE: There will only be one (1) round of questions and answers throughout the NOFO process, therefore applicants should submit all questions, including questions about Phase One and Phase Two, by the due date specified in the cover letter.

IV.B.4 Content and Form of Application

This NOFO will consist of a two-tiered evaluation: Phase One (Concept Note) and Phase Two (Full Application). All organizations that meet the eligibility criteria outlined in SECTION III.A are invited to apply as part of Phase One.

Only applicants whose Concept Notes are rated the highest during Phase One will be contacted by USAID to submit a full application for Phase Two. No other applicants will be eligible to participate in Phase Two.

Any pages in excess of the page limits specified in Section IV.B will not be reviewed.

IV.B.5 Submission, Modification, Revised Applications/Addenda, and Withdrawal of Applications

(a) All applicants must have a DUNS number and must be registered in the U.S. Government's System for Award Management (SAM) prior to Phase Two, Full Application Submission. The DUNS number requirement also applies to first-tier subcontractors. USAID cannot fund organizations that do not comply. A DUNS number may be obtained at http://fedgov.dnb.com/webform, and is required for registration in SAM. The DUNS number and SAM registration requirements are strongly encouraged but not required for Phase One, Concept Note Submission.

(b) Applications, application modifications, and/or revised applications/addenda consist of a technical application and a cost/business application which must be submitted in two separate volumes, each of which must be organized by the headings set forth below and must include the information described below.

(c) Unless otherwise indicated, applications shall cover only the Leader Award. Separate applications will be submitted for Associate Awards when and if they arise.

(d) Applications, application modifications, and revised applications/addenda must be submitted electronically to the e-mail addresses noted in Section VII of this NOFO, and may (but are not required to) be submitted through www.grants.gov. An applicant must first register on-line with www.grants.gov, and should allow sufficient time to do so. If the applicant has difficulty registering, the applicant should contact the www.grants.gov Help Desk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance.

(e) Applications, application modifications, and revised applications/addenda must include a cover letter which, at a minimum, includes: (A) the NOFO number; (B) the name, address, and telephone and email address of the applicant; and (C) names, titles, and telephone and e-mail addresses of persons authorized to negotiate and sign on the applicant's behalf.

(f) Applications, application modifications, and revised applications/addenda in response to this NOFO must be in English or with accompanying English translations, and in U.S. dollars.

(g) Applicants may submit application modifications at any time before the NOFO closing date and time, and may submit application modifications in response to an NOFO amendment, or to correct a mistake at any time before award.

(h) Applicants may submit revised applications/addenda only if requested or allowed by the Agreement Officer.

(i) Applications may be withdrawn by written notice received at any time before award. Applications may be withdrawn in person by an applicant or an authorized representative, if the representative's identity is made known and the representative signs a receipt for the application before award. Withdrawals are effective upon receipt of notice by the Agreement Officer.

IV.B.6 Late Applications, Application Modifications, and Revised Applications/Addenda.

(a) Applicants are responsible for submitting applications, and any application modifications or revised applications/addenda, so as to reach the Government office designated in this NOFO by the specified dates and times.

(b) If an emergency or unanticipated event interrupts normal Government processes so that applications cannot be received at the office designated for receipt of applications by the exact time specified in cover letter of this NOFO, and urgent Government requirements preclude amendment of the NOFO, the time specified for receipt of applications will be deemed to be extended to the same time of day specified in the cover letter of this NOFO on the first work day on which normal Government processes resume.

IV.B.7 Application Expiration Date

Applications, application modifications, and revised applications/addenda in response to this NOFO will be valid for 90 days unless a different period is proposed by the applicant.

IV.B.8 Restriction on Disclosure and Use of Data

a. Applicants that include in their applications data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall:

   i. Mark the title page with the following legend: “This application includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed—in whole or in part—for any purpose other than to evaluate this application. If, however, a grant or cooperative agreement is awarded to this applicant as a result of—or in connection with—the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the 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 numbers or other identification of sheets*]”; and

   ii. Mark each page containing restricted data with the following legend: “Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application.”

b. Applicants are advised that it is anticipated that the successful technical application, application modification, and/or revised application/addendum will become the Program Description of the grant awarded as a result of this NOFO. Pursuant to the Freedom of Information Act of 1981, the public is entitled to request information from Agency award files. As a general rule, information will be disclosed except:

   i. Information submitted in response to this NOFO, prior to award of the grant, or modifications or revisions thereto.

   ii. Information properly classified or administratively controlled by USAID.

   iii. Information specifically exempted from disclosure under the Freedom of Information Act.

c. Upon award of the cooperative agreement resulting from this NOFO, USAID will disclose, use, or duplicate any information submitted in response to this NOFO to the extent provided in the award and as described in Section VI.A of this NOFO, and as required by the Freedom of Information Act.

IV.B.9 Award

USAID intends to issue one or more Leader with Associates Awards, as described in Section II of this NOFO, to the responsible applicant(s) whose application(s), application modification(s), and/or revised application(s)/addendum(a) is responsive to this NOFO and represents the greatest value after evaluation in accordance with the evaluation criteria in Section V.B of this NOFO. USAID may reject any or all applications and may accept more than one application if such action is in USAID's interest. USAID may waive informalities and minor irregularities in applications received.

IV.B.10 Responsiveness to NOFO and False Statements

The applicant shall follow the instructions contained herein and supply all information as required. Failure to furnish all information requested, or to submit an application directly responsive to the terms, conditions, specifications, and provisions of this NOFO may disqualify an application. Applicants must set forth full, accurate and complete information as required by this NOFO. The penalty for making false statements to the Government is prescribed in 18 U.S.C. 1001.

IV.B.11 Pre-Award Audits/Surveys and Discussions

USAID reserves the right to perform a pre-award audit/survey which may include, but is not limited to: (1) interviews with individuals to establish their ability to perform award duties under project conditions; (2) a review of the applicant's financial condition, business and personnel policies and procedures, etc.; and (3) site visits to the applicant's institution. However, it must be understood that USAID undertakes no obligation to perform any of the foregoing elements. Accordingly, applicants should submit their best and most complete application initially.

IV.B.12 Submission of Questions and Explanation to Prospective Applicants

(a) Written Questions

Written questions concerning this NOFO must be received no later than the date and time specified on the cover page of this NOFO. Questions must be in writing and should be e-mailed only to the e-mail address specified in Section VII of this NOFO. Please note that all questions, without attribution to the organization, and answers will be posted online at grants.gov as an amendment to this NOFO. Sensitive or proprietary information should not be included in the questions.

(b) Contact with USAID Missions

In order to maintain the integrity of the competitive process, USAID Missions and other USAID operating units will be unable to advise or provide information to potential applicants that would be used in preparation of the application. Therefore, applicants are advised not to contact USAID Missions regarding this NOFO.

IV.B.13 Unnecessarily Elaborate Applications

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective response to this NOFO are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

IV.B.14 Inconsistencies between this NOFO and 2 CFR 700, 2 CFR 200/ADS 303

In case of any disagreements or discrepancies between the terms and conditions of this NOFO and 2 CFR 700 and 2 CFR 200 or ADS 303, the latter shall prevail unless any such conflicting terms and conditions of this NOFO are expressly and specifically stated to be an approved deviation from 2 CFR 700, 2 CFR 200 or ADS 303.

IV.B.15 Failure to Conform

The USAID evaluation committee may consider any failure to conform to these instructions and rules, and any attempt to evade these specifications and rules on the basis of technicalities, as indications of the kind of behavior that it may expect from the applicant during award performance/implementation. The committee will take this into account when making its evaluation. If an applicant does not understand these instructions, it should follow the instructions in paragraph I.V.A.3 above.

IV.B.16 USAID Obligation

USAID is not obligated to make an award or pay for any costs incurred by the applicant in preparation and submission of an application in response hereto.

IV.B.17 Authority to Commit USAID

The Agreement Officer is the only individual who may legally commit USAID to the expenditure of public funds. No costs allocable to the proposed award(s) will be reimbursed by USAID before receipt of either a fully executed grant or cooperative agreement, or a specific written authorization from the Agreement Officer.

IV.B.18 Pre-Award Costs

USAID will not reimburse any applicant for pre-award costs unless specifically authorized by the Agreement Officer, who may, at his/her sole discretion, authorize the selected applicant, at its own risk, to begin program implementation and the incurrence of costs prior to a signed award as of a specified date, with no commitment to reimburse costs in the event that the award is not subsequently signed.

IV.C TECHNICAL APPLICATION INSTRUCTIONS

IV.C.1 General

The technical application must be typed on standard paper with one-inch top/bottom and left/right margins, single spaced, with each page numbered consecutively. The technical application must be in 2010 or earlier versions of MS Word, and must use Arial font in 11-point or larger size. Scanned PDF documents may be used for information requiring signatures and copies of documents. All technical applications should include the sections and content below. With reference to Section II.A above, the technical application should describe the core program to be conducted under the Leader Award, except as may otherwise be specified.

It is anticipated that the successful application (as may be revised) will become the Program Descriptions for the award resulting from this NOFO. Thus, applications submitted in response to this NOFO should, in addition to being responsive hereto, be written in the active voice and in results-oriented terms in order to address what is proposed to be done, why it is proposed to be done, how it is proposed to be done, who will do it, where it will be done, when it will be done, and the anticipated results and impact.

The technical application must have a definitive strategy and plan, and must set forth in detail the applicant's approach, methodology, procedures and techniques for the design, management, implementation, and monitoring of the proposed program. The application must also demonstrate the applicant’s capabilities and expertise to successfully implement, manage, and monitor the proposed program. The application must define the technical resources, capabilities, and expertise of the applicant's organization and other institution(s) involved, and of the professional personnel proposed. The information presenting the capabilities of the implementing organization(s) and of the individuals to be assigned should spell-out clearly the pertinent work experience and accomplishments in developing and conducting activities of the type being proposed, as well as the specialized skills, professional competence, academic training, and relevant achievements of the personnel. It is important that the technical application furnish verifiable, objective supporting evidence of successful program management, implementation, and monitoring. The technical application should be specific, detailed, and include appropriate benchmarks or milestones.

The technical application will be the critical item of consideration in selection of an applicant for an award. The information provided in the technical application must be specific, complete, and presented concisely. The technical application must demonstrate how it contributes to achieving the program’s goals and objectives, including specific results anticipated. Applicants are advised that lack of completeness or superficiality of the application may constitute grounds for excluding it from consideration.

IV.C.2 Phase ONE: Concept Note

All applicants who meet the criteria for eligibility outlined in SECTION III may apply. The application must be received by the deadline, in order to be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the Phase One (Concept Note) applications. If the application is incomplete and not directly responsive to the terms, conditions, specifications, and provisions of this NOFO, it may be categorized as unacceptable and eliminated from further consideration.

The application should be prepared according to the format outlined below. The application should be submitted no later than the date and time indicated on the cover letter of this NOFO. The application must be prepared in English. If the application is in any other language, it will be treated as non-responsive and eliminated from further consideration.

The application must be submitted via e-mail to the e-mail addresses specified on the cover letter with up to 5 attachments (2MB limit) per email compatible with MS Word, and/or Excel in a MS Windows environment.

Applicant is reminded that e-mail is NOT instantaneous, in some cases delays of several hours occur from transmission to receipt.

Applicant must retain for their records copy of the e-mails and application and all enclosures which accompany the application.

Telegraphic or faxed applications are not authorized for this NOFO and will not be accepted.

Applications for Stage One must consist of the following documents:

Concept Note

The Concept Note will describe the proposed technical approach, addressing the program description in Section I.B of this NOFO. **The Concept Note should be limited to (10) pages** and should include the following:

1) **Technical Statement** (up to 7 pages)

The Technical Statement should describe how the applicant will provide technical assistance and support to strengthen electoral and political processes based on democratic principles such as accountability, representation, participation and inclusion (such as, but not limited to gender inclusion and women's empowerment). The applicant should identify three (3) or more of the program objectives in the program description (Section I.B of this NOFO) toward which it can achieve results and provide a rationale why and how these program objectives have been selected.

The applicant should also identify the geographic region(s) where it is most capable of providing assistance. (The final award(s) will be global in nature, and the successful applicant(s) will not be restricted to their primary geographic region.) In addressing the objectives, the applicant must demonstrate knowledge and experience in the democracy, human rights and governance field in general and in particular in the sub-field of elections and political processes.

The Technical Statement should explain the specific problems to be addressed, the general technical approach, and goals expected to be achieved. Expected results and their impact should be concrete and measurable. The Technical Statement should include a general implementation plan, including a short description of the principal activities that will be undertaken to achieve the proposed objectives, as well as a general timeline for carrying out these activities.

2) **Management Capacity Statement** (up to 2 pages)

A Management Capacity Statement should present the applicant's existing capacity to implement grants from governmental and/or non-governmental donors, mobilize personnel and resources internationally, conduct responsible financial management and oversight, and monitor and report on results.

The Management Capacity Statement should briefly document the applicant's previous experience in managing donor funding effectively, including a list of the applicant's current, recent, and/or notable donor-funded efforts. Prior experience with USAID is **not** required.

The applicant should also outline how it would improve its own organizational capacity and sustainability with funds available under this award (not to exceed 10% of the overall budget) for this specific purpose.

3) General Budget (1 page)

A summary budget, broken down by main categories, which reflects the applicant's strategy and the proposed activities, must be included. Budget notes should explain the basis for the estimate for each category of cost. A detailed budget is not required at this stage.

4) Documentation of Legal Status (not included in page limit)

When applying to the solicitation, local and regional organizations are required to attach official documentation of their formal status in the host country.

IV.C.3 PHASE TWO: Full Application

Only applicants chosen during Phase One and contacted by USAID are eligible to respond as part of Phase Two. If selected, applicants must submit the following documents:

IV.B.3.1 Required Forms

Applicant must submit the application using the SF-424 series, which includes the:
- SF-424, Application for Federal Assistance,
- SF-424A, Budget Information – Non-construction Programs, and
- SF-424B, Assurances – Non-construction Programs.

[SF 424 FORMS ATTACHED TO THE WWW.GRANTS.GOV POSTING.]

IV.C.3.2 Pre-Award Certifications, Assurances and Other Statements of the Recipient

In addition to the certifications that are included in the SF-424, non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements:

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

1. **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs** (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);

2. **Certification on Lobbying** (22 CFR 227);

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

4. **Certification Regarding Terrorist Financing**; and

5. **Certification of Recipient**

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

1. A signed copy of **Key Individual Certification Narcotics Offenses and Drug Trafficking**, (ADS 206.3.10) when applicable;

2. A signed copy of **Participant Certification Narcotics Offenses and Drug Trafficking** (ADS 206.3.10) when applicable;

3. The **Survey on Ensuring Equal Opportunity for Applicants**; and

4. Other Statements of Recipients.

IV.C.3.3 Application Preparation Guidelines

The application must be submitted in two separate files: (a) Technical Application; and, (b) Cost or Business Application.

The application must include only one prime applicant, which shall enter into sub-agreements or sub-contracts with partnering institutions. In this case, the Prime Applicant will be responsible for establishing and maintaining sub-agreement and/or contracting relationships with proposed partners. For the purposes of this NOFO, the term "applicant" is used to refer to the prime and any proposed partners.

The application must be received by the deadline that will be provided to each applicant with the request to submit a full application for consideration in Stage Two in order to be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the application. If the application is incomplete and not directly responsive to the terms, conditions, specifications, and provisions of this NOFO, it may be categorized as unacceptable and eliminated from further consideration.

The application should be prepared according to the structural format set forth below. The application must be prepared in English. If the application is in any other language, it will be treated as non-responsive and eliminated from further consideration.

The application must be submitted via e-mail to the e-mail address specified on the cover letter (Technical and Cost or Business Application must be sent in separate files) with up to 5 attachments (2MB limit) per email compatible with MS Word, and/or Excel in a MS Windows environment. There has been a problem with the receipt of *.zip files due to anti-virus software. Therefore, Applicant is hereby discouraged from sending files in this format as we cannot guarantee their acceptance by the internet server. The subject of each email should read as follows: "NOFO-SOL-OAA-15-000106 Title: "Regional and Local Support for Elections and Political Transitions - E-mail 1 of [#]".

Applicant is reminded that e-mail is NOT instantaneous, in some cases delays of several hours occur from transmission to receipt.

Applicant must retain for their records copy of the e-mails and application and all enclosures which accompany the application.

Telegraphic or faxed application is not authorized for this NOFO and will not be accepted.

If the Application is submitted late, incomplete or is considered to be non-responsive to this NOFO, it may be eliminated from further consideration.

IV.C.3.4 Technical Application Format

The technical application should be specific, complete, presented concisely, and within the page limit. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program, and take into account requirements of the program and evaluation criteria found in this NOFO.

The technical application should contain the following sections: (1) Cover Page; (2) Executive Summary; (3) Program Narrative; (4) Performance Monitoring Plan; (5) Implementation Plan; (5) Management Structure and Key Personnel; (7) Institutional Capacity and Past Performance and (8) Annex (Resumes and Letters of Commitment).

Page limitations are specified below for some of these sections. The technical application must be typed on standard sized paper with one-inch top/bottom and left/right margins, single spaced, with each page numbered consecutively. The technical application must be in 2010 or earlier versions of MS Word, and must use Arial font in 11-point or larger size. Scanned PDF documents may be used for information requiring signatures and copies of documents. All technical applications should include the sections and content below. With reference to Section II.A above, the technical application should describe the core program to be conducted under the Leader Award, except as may otherwise be specified.

If the Applicant includes data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

“This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. 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 _______; and”

(b) Mark each sheet of data it wishes to restrict with the following legend:

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

Technical Application

The Technical Application will describe the proposed technical approach, addressing the program description in Section I.B of this NOFO. **The technical application should be limited to forty (40) pages** and should include the following:

1) Cover Page (1 page)
The Cover Page should include the number of this NOFO with the names of the organizations/institutions involved in the application. In the case of a group, please indicate the lead or primary applicant clearly, followed by any proposed sub-grantees and/or contractors, including a brief narrative describing the unique capacities/skills being brought to the program by each institution. In addition, the Cover Page should contain information about 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, e-mail address and telephone and fax numbers. It should also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed with his or her title or position with the organization/institution, address, e-mail address and telephone and fax numbers.

2) Executive Summary (up to 2 pages)
The Executive Summary should present a brief description of the program objectives the application will address and why these program objectives were selected; and outline the proposed strategy, plan, activities, management structure and anticipated results. If there are any significant changes in the proposed approach from the one presented in the Concept Note, a brief explanation should be included.

3) Technical Program Narrative (up to 12 pages)
Building on the Concept Note, the applicant will further develop their strategy and technical approach in support of the selected program objectives. This section should demonstrate deep contextual knowledge of regional trends and countries' diverse environments, as well as technical expertise in the field of the democracy assistance, and specifically elections and political processes. Inclusion of best practices and innovative solutions are encouraged. If there are any significant changes to the approach or the proposed activities as presented in the Concept Note, an explanation of these changes would be needed.

Given the fluid environments in many developing countries, this part of the application should also address what mechanisms and ideas the applicant has for addressing unplanned political and electoral developments.

Finally, this section would require an identification of the organizational and other needs of the applicant (lead organization or a coalition of organizations), and a clearly presented plan for addressing these needs. The applicant should be able to prioritize among the identified needs, and focus on the most important areas that would help the implementation of the proposed program, along with addressing sustainability.

4) Performance Monitoring Plan (up to 2 pages)
The Performance Monitoring Plan should include a detailed plan for measuring accomplishments under the program, with an emphasis on results to be achieved, measurable output and outcome indicators, as well as methods for data selection and data disaggregation.

5) Implementation Plan (up to 2 pages)
The Program Implementation Plan should provide a realistic timeframe for the main proposed activities of the project. The plan should clearly articulate how it will support the proposed strategy and selected program objectives. It should also include anticipated results and impacts.

6) Management Structure and Key Personnel (up to 4 pages)
The applicant's Management Structure and Key Personnel must further develop the management statement in the Concept Note and provide more detailed information about the organizational and management structure. This section will identify and describe the strengths of the key personnel proposed. (The actual CVs and letters of commitment will be attached in the Annex, described below.) In general, key personnel need to have practical experience, knowledge, and capability in managing and implementing elections and political processes programs in several countries; demonstrated knowledge of and sensitivity to political dynamics, and ability to effectively work in culturally- and gender-diverse environments.

The applicant should strive to demonstrate how the management structure will ensure effective program implementation. his section should identify the specific role of each organization included in the application, the reporting lines and how they will coordinate activities among sub-grantees or other collaborating organizations.. In terms of addressing political transitions, the applicants must demonstrate ability to mobilize resources and experts quickly, and if needed, to deploy them regionally in order to implement program activities timely and efficiently.

The applicant should also describe how they will respond to and manage associate award requests.

Key personnel positions are described below:

> **Chief of Party**: The chief of party will have overall responsibility for the award, including administration, management, monitoring and evaluation, reporting, program development, and administration of associate awards. The chief of party position requires a University degree in political science, international relations, or other related discipline. S/he has to demonstrate ten years of professional expertise in the areas of democracy, human rights, and/or governance with at least five years of experience specifically in the field of elections and political transitions. The chief of party must have a demonstrated expertise with managing large and complex programs and activities and working with civil society, governments, and international donors.

Deputy Chief of Party: The deputy chief of party will assist the chief of party with project administration, reporting, staff recruitment, budget oversight and other functions as required. The deputy chief of party may be a focal point for associate award issues and/or partner relations. The deputy chief of party must demonstrate prior grant management and project administration experience. S/he should have eight years of prior project management experience, of which preferably five years in the elections and political transition field.

Financial Manager: The financial manager will ensure sound management and accounting methods are consistently practiced by the Recipient, partners, and sub-recipients under the Leader Award and associate awards. The financial manager may have some responsibilities for improving administrative practices of program beneficiaries but should maintain appropriate independence from the technical staff implementing programs to provide effective oversight and review of financial matters.

Elections and Political Transitions Specialists/Program Officers: The application should include at least two CVs of elections and political transitions experts that demonstrate the applicant's ability to mobilize top-level technical expertise, and who would likely be available to the applicant for future use. These specialists should each have eight years of direct experience with design, implementation, and/or evaluation of elections and political transitions programs in developing countries or the equivalent experience as practitioners, activists, academics or leaders in their home countries. Collectively, the elections and political transitions specialists should have expert level abilities related to all selected program objectives.

Monitoring and Evaluation Specialist: The monitoring and evaluation specialist will prepare performance monitoring plans for Leader Award activities, ensure the accurate and objective collection of data, analysis of findings and the timely inclusion of relevant information in reports. The monitoring and evaluation specialist should have five years of professional experience in monitoring and evaluation, including experience in program design and/or evaluation of democracy, human rights and/or governance projects.

7) Institutional Capability and Past Performance (up to 4 pages)
A description of all contracts, grants, and cooperative agreements which the applicant has implemented involving similar or related programs with USAID or with other organizations (commercial, governmental, and NGO) over the past three years which demonstrate the applicant's capacity for achieving results and responsible fiscal management of donor funding.

Include the following:

a) Name and address of organization for which the work was performed;

b) Current telephone number of responsible representative of the organization for which the work was performed;

c) Agreement (or grant/contract) name and number (if any), annual amount received for each of the last three years, and beginning and ending dates; and

d) Brief description of the project/assistance activity and a summary of results and accomplishments which demonstrate country or region-specific expertise and an institutional record of successful elections and political transitions programming.

8) Annex (Resumes and Letters of Commitment) (up to 15 pages)
Applicant must include in the Annex the CVs and letters of commitment for each individual who will work as key personnel on the program. The CVs must be no more than two pages each, and the letters of commitment must not exceed a single page each.

IV.C.3.5 Cost/Business Application Format

The cost/business application must be typed on standard sized paper with one-inch top/bottom and left/right margins, single spaced, with each page numbered consecutively. The cost/business application must be in the 2010 or earlier versions of MS Word and MS Excel, and must use Arial font in 11-point type or larger size. Scanned PDF documents may be used for information requiring signatures and copies of documents. The cost/business application will be evaluated in accordance with Section V of this NOFO. The cost/business application shall be submitted separately from the technical application.

Standard Form 424A should be supplemented by the following additional cost breakdowns and details, as described below. These supplemental budgets must be delineated by year (and five-year total), with each year (and five-year total) further delineated by USAID funding, other funding (cost-sharing), and total. It is recognized that it may be difficult for the applicant to project actual needs and costs. Accordingly, estimates, based on assumptions, are acceptable. However, the applicant must indicate the basis of the estimate, and/or the assumptions on which the estimate is based. The budgets shall include whatever supporting schedules and narrative budget explanations as may be necessary to adequately support and/or explain proposed costs. This information is required in order to permit USAID to determine whether estimated costs are fair and reasonable, necessary, allowable, allocable, and realistic, which, in turn, is prerequisite for making an award.

The cost/business application should be submitted under separate cover from the technical application. Certain documents are required to be submitted by the applicant in order for the Agreement Officer to make a determination of responsibility.

The Applicant must submit a Negotiated Indirect Cost Rate Agreement NICRA if the organization has such an agreement with an agency or department of the U.S. Government. If no NICRA the Applicant should submit the following:

Reviewed Financial Statements Report: a report issued by a Certified Public Account (CPA) documenting the review of the financial statements was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation. The account must also state the he or she is not aware of any material modifications that should be made to the financial statements; or

Audited Financial Statements Report: An auditor issues a report documenting the audit was conducted in accordance with Generally Accepted Auditing Standards (GAAS), the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework.

The following sections describe the documentation that the applicant for this assistance award must submit to USAID. While there is no page limit for this portion, applicant is encouraged to be as concise as possible, but still provide the following necessary details:

1. The Cost/Business application must be completely separate from the applicant's technical application. The Cost/Business application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."

2. The cost application should use the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.

3. The budget to be presented under Cost/Business Application should relate to results specified in Section I above, and delineate the cost inputs or each result, and a disaggregation between the USAID (Federal Share) and cost-share (Non-federal share) of the total program cost.

4. The proposed budget should provide cost estimates for the management of the program (including program monitoring, baseline assessments and assessments for environmental compliance). Applicant should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.

5. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional, country, and/or local offices.

6. The breakdown of all costs according to each partner organization or subcontractor/subgrantee involved in the program.

7. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.

8. The breakdown of the financial and cost share, if any, of all organizations involved in implementing this agreement.

9. Potential contributions of non-USAID or private commercial donors to this agreement.

10. A procurement plan for commodities.

11. The required Certifications under Section IV.B.3.2, should be included with the cost application.

12. To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following section provides guidance on the inputs for the program line items for the Federal Share requested, and should correspond to the table below.

13. Budget Notes: an accompanying budget narrative by line item which provides in detail the total costs for implementation of the program and achieving results your organization is proposing per year. Please include the breakdown of all input costs according to each partner organization involved in the program and the breakdown of the financial and in-kind contributions of all organizations.

    i. **Personnel Salaries and Wages**: Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.

    ii. **Fringe Benefits**: If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

    iii. **Travel and Transportation**: The application should indicate the number of trips, domestic and international, and the estimated costs. It should specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the applicant's normal travel policies (applicant may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

    iv. **Other Direct Costs**: This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, etc. The narrative should provide a breakdown and support for all and each other direct costs.

    v. **Indirect Costs**: Indirect costs are costs which cannot be directly identified with a single contract or grant. The indirect costs are applied equitably across all of the business activities of the organization, according to the benefits each gains from them. Some examples of indirect costs are office space rental, utilities, and clerical and managerial staff salaries. To the extent that indirect costs are reasonable, allowable and allocable they are a legitimate cost of doing business payable under a U.S. Government contract or grant. Local Institutions usually do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the U.S. Government. Local institutions submitting applications should treat all indirect costs as direct costs unless the applicant can support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

vi. **Seminars and Conferences**: The applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

vii. **Foreign Government Delegations to International Conferences**: Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization.

viii. **Source and Nationality Requirements**: Goods and services provided by the Recipient under this USAID-financed award shall have their source and nationality in the United States, the recipient country, and developing countries other than advanced developing countries, in accordance with the policies in ADS Chapter 310 and 22 CFR Part 228.

IV.D POST-APPLICATION REQUIREMENTS

After USAID had evaluated an Application against the criteria in Section V, it may enter into discussions/negotiations with one or more Applicants. Before an award decision can be made, USAID will require additional documentation for the apparently successful applicant(s). Information is provided below for general awareness, but this documentation does not need to be submitted as part of the Concept Note (Phase 1) or Full Application (Phase 2).

IV.D.1 Evidence of Responsibility

Apparently successful applicants must submit sufficient evidence of responsibility for the USAID Agreement Officer to make an affirmative determination of responsibility, as described in Section III.D of this NOFO. After award, the recipient (as the Management Entity) is responsible for ensuring the responsibility of collaborating partners/sub-recipients/contractors.

IV.D.2 Branding Strategy and Marking Plan (BS/MP)

The applicant is required to comply (and ensure compliance by partners) with USAID's branding and marking requirements set forth in 2 CFR 700.16.

These regulations and provisions include the requirement for the apparently successful applicant to submit a BS/MP for pre-award review, negotiation, and approval by the Agreement Officer. Under these regulations and provisions, the BS/MP does not need to be submitted until the applicant is notified by the Agreement Officer that it is the apparently successful applicant, and is requested to submit the BS/MP by a time specified by the Agreement Officer. Thus, the initial cost/business application is not required to include a BS/MP.

Nevertheless, applicants are encouraged, but are not required, to submit their BS/MP with their initial cost/business applications. Applicants who choose not to include their BS/MP with their initial cost/business application will not be penalized during the evaluation process, but should be aware that, if the applicant is the apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. This would delay any such award, pending receipt, review, and, if necessary, negotiation of the applicant's BS/MP. Moreover, because USAID's branding and marking requirements have cost implications, such costs must be included in the detailed budget even if the applicant does not submit its BS/MP with the initial cost/business application.

Failure to submit or negotiate a Branding Strategy within the time specified by the Agreement Officer will make the Apparent Successful Applicant ineligible for award.

The proposed Branding Strategy and Marking Plan (BS/MP) will not be evaluated competitively. The Agreement Officer shall review for adequacy the proposed BS/MP, and will negotiate, approve, and include the BS/MP in the award.

IV.D.3 Waivers from or Approvals under USAID Procurement Requirements

If the applicant foresees the need for waivers from, or approvals required under, USAID's source and supplier nationality requirements (see Section III of this NOFO), the application should describe which goods and services need approval/waivers, and provide an explanation and justification for the same.

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

V.A. SELECTION PROCESS

The competition under this NOFO will be completed in two phases as described above in Section IV.1. Concept Notes (Phase 1) and Full Applications (Phase 2) will be evaluated in accordance with the criteria set forth below. All applications will be objectively reviewed for responsiveness to the evaluation criteria only; applications from different organizations will not be compared to each other at any stage.

USAID intends to make an award(s) to the responsible applicant(s) whose application(s) represents the greatest value to USAID based on the evaluation of Full Applications in accordance with the evaluation criteria set forth below.

After evaluation of the Full Applications during Stage 2, either: (1) the award will be made without discussions/negotiations; or (2) if deemed necessary or desirable by USAID, written and/or verbal discussions/negotiations will be conducted with applicants that submit the most highly rated applications. USAID hopes to evaluate applications and make an award without discussions with applicants (except clarifications, which are limited exchanges between USAID and applicants, such as the relevance of an applicant's past performance information and adverse past performance information to which the applicant has not previously had a chance to respond). Therefore, the applicant's initial application should contain the applicant's best terms.

If discussions are conducted with applicants, they will be conducted with all applicants that submitted the most highly rated applications. However, the Agreement Officer may limit the number of such applications to the greatest number that will permit an efficient competition among the most highly rated applications. Exchanges with applicants after receipt of an application do not constitute a rejection or counteroffer by USAID.

After the conclusion of any such discussions, applicants with whom discussions were conducted will, unless otherwise advised, be required to submit a revised application or addendum to the initial application, which will be re-evaluated against the criteria set forth below. It is expected that an award will ordinarily be made after the first round of any such discussions and revised applications/addenda; however, USAID reserves the right to conduct subsequent rounds of discussions and revised applications/addenda, and to further limit the number of applicants with which such subsequent discussions would be conducted and from which a subsequent round of revised applications/addenda would be requested.

V.B. TECHNICAL EVALUATION CRITERIA

The technical evaluation criteria presented below have been tailored to the requirements of Phase One (Concept Note) and Phase Two (Full Application) of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their Concept Notes and Full Applications (also see Section IV above); and (b) set the standard against which all Concept Note and Full Applications will be evaluated.

The technical evaluation criteria presented below have been tailored to the requirements of Stage One (Concept Paper) and Stage Two (Full Application) of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their concept Papers and Full Applications (also see Section IV above); and (b) set the standard against which all Concept Papers and Full Applications will be evaluated.

Each element of the evaluation criteria for Stage One (Concept Paper) and Stage Two (Full Application) will be objectively rated according to a qualitative scale described in the table below. Taking into consideration the ratings of each element of the evaluation criteria, each Concept Paper and Full Application will receive an overall rating.

RATING	**DESCRIPTION**
Exceptional	The application exceeds the fullest expectations for the specified requirements. The application convincingly demonstrates that the program description has been thoroughly analyzed and met with proven capabilities and innovative approaches to the development problem. The application contains significant strengths and may contain only minor weaknesses which can be addressed, but does not have discernable deficiencies. The application has a high likelihood of resulting in an outstanding, effective, efficient, and economical performance which achieves the intended results.
Very Good	The application fully meets the specified requirements. The application exhibits clear understanding of the program description and demonstrates ability to utilize best practices towards the development problem. The application has its strengths and weaknesses that are correctable, but no discernable deficiencies. The application is likely to achieve the intended results with strong performance.
Satisfactory	The application meets the minimum specified requirements. The application responds to the program description with established approaches to addressing the development problem. The application has strengths but also contains several weaknesses that are correctable, but no discernable deficiencies. The application could reasonably achieve the intended results.
Marginal	The application meets some but not all minimum specified requirements. The application reflects the program description but does not demonstrate a consistent approach to the development problem. The application contains multiple weaknesses and may contain deficiencies. If deficiencies exist, they may be correctable. The application may achieve the intended results, however there is at least a moderate risk of not achieving them or achieving them in a less than effective and/or efficient way.

Unsatisfactory	The application fails to meet the minimum specified requirements. The application may be incomplete, vague, or so incorrect as to be unacceptable. The application has serious weaknesses and contains one or more major deficiencies which are not correctable without major revision of the application. The application is unlikely to achieve most intended results in an effective and efficient way, and there is a significant risk of not achieving them at all.

V.B.1 PHASE ONE (Concept Note) – Evaluation Criteria

The Phase One Concept Notes will be reviewed by a Technical Evaluation Panel. Specifically, the Technical Evaluation Panel will review each Concept Note against the criteria established below for each component:

<u>Technical Approach</u>

- Clarity and soundness of approach to the selected program objectives demonstrated in the strategy, implementation plan, key activities, and expected results.
- Ability to use democratic principles such as accountability, representation, participation and inclusion as the basis of the proposed strategic vision and implementation plan.
- Appropriateness of objectives and strategies to the identified region-specific needs in elections and political transitions.
- Level of knowledge and experience in the democracy, human rights and governance field, and especially in the sub-field of elections and political transitions.
- Realism of measurable results and impacts to be achieved in the proposed program.

<u>Management Capability Statement</u>

- Efficiency and reasonableness of the management structure in support of the proposed program.
- Capacity to implement donor-funded programs including mechanisms for monitoring and evaluation and financial oversight.
- Viability and sustainability of the applicant's internal capacity-building plan based on the identified needs and priorities of the applicant and its partner organizations.

<u>General Budget</u>

- Cost-realism of budget categories and costs.
- Suitability of the general budget to the program activities proposed.

<u>Documentation of Legal Status</u>

- Sufficiency of proof of legal restriction in the applicant’s home country.

<u>Overall Rating</u>

The Technical Statement will be considered more significant than the Management Capability Statement in determining the overall rating of the Concept Note. The General Budget will be evaluated in terms of cost realism, but will not be considered in determining the overall rating of the Concept Note. The Documentation of Legal Status will only be evaluated to determine eligibility to apply for this award, and will not be considered in determining the overall rating of the Concept Note.

Following the review of the Concept Notes, a letter will be sent to each applicant detailing the outcome of the review.

V.B.2 PHASE TWO – Evaluation Criteria

The applicants with the most highly rated Concept Notes during Phase One of this competition will be invited to submit Full Applications as described in Section IV.B.3. The Full Application is divided into a Technical Application and a Cost/Business Application which will be evaluated separately.

Following the review of the applications, a letter will be sent to each applicant detailing the outcome of the review. USAID reserves the right to determine the final funding level of the resultant award.

V.B.2.1 PHASE TWO – Evaluation of the Technical Application

The Technical Applications of Phase Two Full Applications will be reviewed by a Technical Evaluation Panel. Specifically, the Technical Evaluation Panel will review each Technical Application against the criteria established below for each component:

Technical Program Narrative and Implementation Plan

- Clarity and soundness of approach to the selected program objectives demonstrated in the strategy, implementation plan, key activities, and expected results.
- Ability to use democratic principles such as accountability, representation, participation and inclusion as the basis of the proposed strategic vision and implementation plan.
- Level of knowledge and experience in the democracy, human rights and governance, and especially in the field of elections and political transitions.
- Ability to articulate “best practices” and regional “lessons learned” on elections and political transitions.
- Comprehensiveness of analytical understanding of regional trends in elections and political transitions that serve as the basis of the proposed strategy and activities
- Appropriateness of objectives and strategies to the identified region-specific needs in the elections and political transitions.
- Ability to address effectively identified gender-related issues in all parts of the application. Use of innovative and creative approaches to complement best practices.
- Viability and sustainability of the applicant's internal capacity-building plan based on the identified needs and priorities of the applicant and its partner organizations.

Performance Monitoring Plan

- Realism of measurable results and impacts to be achieved in the proposed program

- Soundness of methodology for tracking results with measurable illustrative indicators, clear data collection and disaggregation of results.

Management Structure and Key Personnel

- Demonstrated management capacity to address program objectives and deliver results.
- Degree to which the proposed key staff demonstrate relevant professional qualifications and experience to achieve the stated results.
- Efficiency and clarity of the roles of key staff, clarity of responsibilities and reporting lines.
- Demonstrated ability to mobilize resources and experts quickly, and if needed, to deploy them regionally, in order to implement program activities.
- Ability to respond to and manage associate award, and coordinate activities among sub-grantees or other collaborating organizations.

Institutional Capacity and Past Performance

- Demonstrated organizational knowledge and institutional capacity to develop manage and implement assistance programs of a similar size and complexity.
- Demonstrated capacity to support multiple and complex field operations;
- Effectiveness in coordinating with other donors and key stakeholders in achieving objectives.
- Ability to utilize, employ, and build local and regional talent in promoting sustainability.
- Ability to prioritize organizational and other capacity needs of the applicant organization or consortium of organizations.
- Viability and sustainability of the applicant's internal capacity-building plan based on the identified needs and priorities of the applicant and its partner organizations.
- Proven ability to build and maintain relationships with host country and donor counterparts.

Note: USAID reserves the right to obtain past performance information from other sources including those not named in this application.

Overall Rating

The Program Narrative will be considered the most significant determinant of the overall rating of a Technical Application and equal in weight to all other evaluation factors combined. The Management Structure and Key Personnel and the Institutional Capacity and Past Performance sections are considered the next most significant factors in determining the overall rating and are considered of equal weight to each other. The Monitoring and Evaluation Plan will make the smallest contribution to the overall rating determined for each Technical Application.

V.B.2.2 STAGE TWO – Evaluation of the Cost/Business Application

Proposed costs are not a scored competitive factor, but will be evaluated for general reasonableness, effectiveness, realism, fairness, necessity, allowability, and allocability.

Management information will be evaluated to: (1) determine the eligibility and responsibility (see Section III of this NOFO) of the applicant; (2) ensure compliance with USAID requirements; and (3) address/resolve issues which may impede performance and implementation, with an eye toward reducing post-award administrative requirements and burdens by resolving issues and providing approvals as part of the pre-award and award process.

With reference to Section IV..B 3.8 above, the proposed Branding Strategy and Marking Plan (BS/MP) will not be evaluated competitively. The Agreement Officer shall review for adequacy the proposed BS/MP, and will negotiate, approve, and include the BS/MP in the award.

[END OF SECTION V]

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

VI.A NOTICE OF AWARD

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. 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 Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

VI.B PAYMENT AND FINANCIAL REPORTING

Financial reporting requirements will depend on the method of payment. Recipients will comply with the financial reporting requirements set forth in the USAID standard provisions for Non-U.S. Non-Governmental Organizations. If advance payments are provided, reporting periods are calendar quarters or parts thereof. Quarterly financial reports are due not later than 30 days after the end of each calendar quarter. The final financial report is due not later than 90 days after the estimated completion date of the award. If payment is on a reimbursement basis, financial reports may be submitted monthly, but not less frequently than 30 days after the end of each calendar quarter. The final financial report is due not later than 90 days after the estimated completion date of the award. The Recipient shall also comply with the USAID standard provision entitled "Reporting Host Government Taxes."

VI.C PLANNING, MONITORING, REPORTING, AND EVALUATING PROGRAM PERFORMANCE

VI.C.1 Leader Award

Reporting
Program Reports shall be in accordance with Standard Provisions for Non-U.S. Nongovernmental Organizations (see the following link: http://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf).

All written documentation must be submitted in professional-level English. Reports must be submitted to USAID in Arial font11 point type or larger, unless otherwise agreed or directed by USAID. The reports listed below are the initial reports required by the recipient. Based on the evolving nature of the agreement, USAID may provide modified reporting requirements.

Annual Implementation Plan
The annual implementation shall describe all activities planned for the year and where they will be conducted; benchmarks/milestones and annual performance targets; the outputs/outcomes which the Recipient expects to achieve; and support planned to be provided by the Recipient, during the period covered. Included shall be an explanation of how those inputs are expected to achieve the outputs/outcomes and benchmarks/milestones.

The annual implementation plans will describe activities to be conducted at a greater level of detail than the Program Description of the award, but shall be cross-referenced with the applicable sections in the Program Description. All activities must be within the scope and objectives of the award. Implementation plans shall not change such scope and objectives or any other terms and conditions of the award in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the work-plan and the Program Description or other terms and conditions of the award, the latter will take precedence over the work-plan.

Within 30 days of the signing on the award for first year and 30 days before the beginning of each subsequent Agreement year, the Recipient will submit an annual implementation plan for approval by USAID.

Within 15 calendar days of submission, USAID will approve the implementation plan or provide the Recipient with written comments. The Recipient will have 15 calendar days to revise the annual implementation plan. If necessary, USAID will have an additional 15 calendar days to provide a second round of comments. USAID may approve parts of the implementation while awaiting revision of the full implementation plan. The Recipient may request USAID approve modifications to the approved annual implementation plan if necessary at some point during the program year.

Performance Monitoring Plan (PMP)
The Recipient will develop a cost-effective, results-oriented performance monitoring plan that will provide USAID with information to monitor performance and effectiveness as well as to inform planning and management decisions. The Performance Monitoring Plan should also demonstrate a gender-sensitive approach, with the data collected being disaggregated by gender, historically disenfranchised groups, and other relevant groups identified, as appropriate.

The Recipient will be responsible for monitoring the program benchmarks, and final activity results. The Recipient will also be responsible for establishing a baseline which will be used for measuring program progress.

The PMP must include geographic data collection, geographic analysis, and data submission methods as a separate section.

The PMP will be submitted at the same time as the first annual work-plan discussed in the previous paragraphs. The PMP and significant revisions thereto are subject to USAID approval.

Performance Reports
The Recipient shall electronically submit all performance reports to the AOR in USAID/Washington. All country-level, regional-level and local-level activities implemented under the Leader Award shall be included in the annual report. Performance reports will consist of the following:

Quarterly Progress Reports

The Recipient shall submit a performance report to the AOR of the Leader Award on a quarterly basis due within 30 days following the end of each quarter corresponding to USAID's fiscal year (from October 1 through September 30).

Quarterly progress reports shall be concise and present the following information: 1) Executive Summary; 2) Program Activities and Highlights; 3) Key Accomplishments; 4) Challenges and Problems Encountered (including financial and administrative concerns); and 5) Future Directions and Upcoming Activities. In addition, qualitative descriptions of success stories and achievements to illustrate impacts of the program must be included when possible. Updated PMP data should be included with submission of the quarterly progress reports.

The Recipient shall also submit an electronic copy of each quarterly progress report to the USAID Development Experience Clearinghouse.

Final Report

The final performance report will replace the last quarterly progress report. The final report shall include an executive summary of the Recipient's accomplishments overall and by country, regional, or local program in achieving results and impact; conclusions about lessons learned; future challenges and opportunities; an overall description of the Recipient's activities and attainment of results by country or region; an assessment of progress made toward accomplishing the development impact objectives and expected results; significance of these activities including their sustainability; and comments and recommendations. The final report shall incorporate the findings and results that were included in previous reports, and is due no later than 90 days after the completion, expiration, or termination of the award.

The Recipient shall also submit an electronic copy of each quarterly progress report to the USAID Development Experience Clearinghouse.

Notifications

The Recipient will be required to immediately notify the AOR and the Agreement Officer of developments that have a significant impact on the award-supported activities. Also, notification shall be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

Financial Reports

Financial Reports shall be in accordance with Standard Provisions for Non-U.S. Nongovernmental Organizations (see the following link: http://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf).

USAID requires Recipients to use the Standard Form 425 or Standard Form 425a, Federal Financial Report, or such other forms authorized for obtaining financial information as may be approved by OMB.

Quarterly Financial Reports

Quarterly Financial Reports shall be due within 30 days following the end of each quarter corresponding to USAID's fiscal year from October 1 through September 30. This report shall include a statement of quarterly accruals. To allow USAID and the AOR to monitor the financial status of the project, accruals should include the (a) total amount obligated; (b) total amount invoiced for, (c) total amount of expended but not yet invoiced for, and (d) remaining unexpended funds.

Final Financial Report

The Final Financial Report shall be due within 90 days following the expiration of the award. Financial Reports shall be in accordance with 2 CFR 700. USAID requires recipients to use the Standard Form 425 or Standard Form 425a, Federal Financial Report, or such other forms authorized for obtaining financial information as may be approved by OMB.

The Final Financial Report shall be due within 90 days following the expiration of the award. The reports may be submitted electronically.

VI.C.2 Associate Awards under LWAs

Reporting requirements and evaluation plans for Associate Awards will be specified in such awards. The Recipient will be required to provide an electronic copy of all reports produced under Associate awards to the AOR for the Leader award.

VI.D SUBMISSION OF DEVELOPMENT EXPERIENCE DOCUMENTATION

USAID recipients must submit one electronic copy of development experience documentation to the Development Experience Clearinghouse. Development experience documentation may be submitted online: http://dec.usaid.gov. Or by mail (for pouch delivery):

USAID Development Experience Clearinghouse
M/CIO/ITSD/KM/DEC
RRB M.01-010
Washington, DC 20523-6100
Phone: (202) 712-0579
Email: docsubmit@usaid.gov

In addition, the recipient must submit one electronic copy of development experience documentation to the AOR for the Leader award.

VI.E TITLE TO PROPERTY

Title to property financed by USAID under the award(s) will vest in the Recipient, and will be subject to the USAID Standard Provisions for Non-U.S. Non-Governmental Organizations.

VI.F PROGRAM INCOME

Any program income generated under the award(s) will be added to USAID funding (and any cost-sharing that may be provided) and used for program purposes. Program income will be subject to the USAID Standard Provisions for Non-U.S. Non-Governmental Organizations.

[END OF SECTION VI]

SECTION VII – AGENCY CONTACTS

The point of contacts for this NOFO and for any questions during the NOFO process is:

Mr. Mir Ershadullah, Agreement Officer
U.S. Agency for International Development/Washington
SA-44
301 4th Street, SW
Washington, DC 20024
Email: mershadullah@usaid.gov

Ms. Chelsea Poling, Agreement Specialist
U.S. Agency for International Development/Washington
SA-44
301 4th Street, SW
Washington, DC 20024
Email: cpoling@usaid.gov

[END OF SECTION VII]

SECTION VIII – OTHER INFORMATION

VIII.A MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (DECEMBER 2014)

a. The USAID Identity is the official marking for USAID, comprised of the USAID logo and brandmark with the tagline "from the American people", unless amended by USAID to include additional or substitute use of a logo or seal and tagline representing a presidential initiative or other high level interagency initiative. The standard USAID logo must be used unless the award requires use of an additional or substitute logo. The USAID Identity (including any required presidential initiative or related identity) is available on the USAID Web site at www.usaid.gov.Recipients must use the USAID Identity, of a size and prominence equivalent to or greater than any other identity or logo displayed, to mark the following:

(1) Programs, projects, activities, public communications, and commodities partially or fully funded by USAID;

(2) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other physical sites;

(3) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, information al, media, or communications products funded by USAID;

(4) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(5) 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.

b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.

c. The AO may require a preproduction review of program materials and "public communications" (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.

d. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to the Agreement Officer's Representative (AOR) and to USAID's Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:
"The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide."
e. Any "public communication" in which the content has not been approved by USAID must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

f. The recipient must provide the USAID AOR, with two copies of all program and communications materials produced under this award.

g. The recipient may request an exception from USAID marking requirements when USAID marking requirements would:

(1) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(2) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(3) Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications;

(4) Impair the functionality of an item;

(5) Incur substantial costs or be impractical;

(6) Offend local cultural or social norms, or be considered inappropriate; or

(7) Conflict with international law.

h. The recipient may submit a waiver request of the marking requirements of this provision or the Marking Plan, through the AOR, when USAID-required marking would pose compelling political, safety, or security concerns, or have an adverse impact in the cooperating country.

(1) Approved waivers "flow down" to subawards and contracts unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(2) USAID determinations regarding waiver requests are subject to appeal by the recipient, by submitting a written request to reconsider the determination to the cognizant Assistant Administrator.

i. The recipient must include the following marking provision in any subagreements entered into under this award:

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's, or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."

VIII.B LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2013)

a) Construction is not eligible for reimbursement under this award unless specifically identified in paragraph d) below.

b) Construction means - construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.

c) Agreement Officers will not approve any subawards or procurements by recipients for construction activities that are not listed in paragraph d) below. USAID will reimburse allowable costs for only the construction activities listed in this provision not to exceed the amount specified in the construction line item of the award budget. The recipient must receive prior written approval from the AO to transfer funds allotted for construction activities to other cost categories, or vice versa.

d) Description
Construction is not eligible for reimbursement under this award.

e) The recipient must include this provision in all subawards and procurements and make vendors providing services under this award and subrecipients aware of the restrictions of this provision.

VIII.C CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (DECEMBER 2014)

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

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

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

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

c. Definitions. For purposes of this award term:

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

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

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

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

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

(4) Subaward:

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

(5) Subrecipient means an entity that:

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

ADDENDUM (JUNE 2012):

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

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

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

VIII.D REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)

a. Reporting of First-Tier Subawards

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

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.(1) of this award term to www.fsrs.gov.
(ii) For subaward information , report no later than the end of the month

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

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

b. Reporting Total Compensation of Recipient Executives.

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

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

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

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

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

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

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

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

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

c. Reporting of Total Compensation of Subrecipient Executives.

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

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

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

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

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

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

(i) To the recipient.

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

d. Exemptions.

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

(1) Subawards, and

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

e. Definitions.

For purposes of this award term:

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

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

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

(3) Subaward:

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

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

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

(4) Subrecipient means an entity that:

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

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

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

(i) Salary and bonus.

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

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

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

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

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

[END OF SECTION VIII]

[END OF NOTICE OF FUNDING OPPORTUNITY NO. SOL-OAA-15-000106]