Issue Date:	**PRE-SOLICITATION ISSUE (February 9, 2017)**
Deadline for Questions:	February 24, 2017 – 12pm Eastern Standard Time
Pre-solicitation Closing Date:	February 24, 2017 – 12pm Eastern Standard Time

Subject: Notice of Funding Opportunity Number - RFA-OAA-17-000007

Program Title: Energy Utility Partnership Program (EUPP)

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement from qualified U.S. and non-U.S. organizations to fund a program entitled Energy Utility Partnership Program (EUPP). Eligibility for this award is not restricted. Please review Section C of this notice of funding opportunity (NFO) for eligibility requirements.

Subject to the availability of funds, an award will be made to that responsible applicant(s) whose application(s) best meets the objectives of this funding opportunity and the selection criteria contained herein. While one award is anticipated as a result of this NFO, USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this NFO the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer". Eligible organizations interested in submitting an application are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements and evaluation process.

To be eligible for award, the applicant must provide all information as required in this NFO and meet eligibility standards in Section C of this NFO. 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 the 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 NFO 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 NFO, 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 NFO.

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

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

Thank you for your interest in USAID programs.

Sincerely,

//s//
Matthew Courtad
Agreement Officer

Table of Contents

ABBREVIATIONS AND ACRONYMS USED IN THIS NFO

EUPP - Energy Utility Partnership Program
USAID – United States Agency for International Development
NFO – Notice of Funding Opportunity
DSM - Demand-side management

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SECTION A: PROGRAM DESCRIPTION

This activity is authorized in accordance with the Foreign Assistance Act of 1961, as amended. The resulting award will be subject to 2 CFR 700 and 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

I. Background

Access to energy is a necessary precondition to achieving many development goals to reduce poverty. Energy services improve development outcomes for water, health, education, income generation, empowerment of women, good governance and sustainable development. Thus, a majority of developing countries have adopted universal access to electricity as a development objective. Reliable and affordable power supplies have been a principal focus of national energy policies to enhance economic growth and improve standards of living. However, significant differences remain between and within emerging economies in terms of levels of access to electricity.

Strategic energy system planning is a key skill needed to support the development and operation of national and regional energy systems. By reducing vulnerabilities and the potential for disruptions, diversifying energy supplies, and reducing energy import dependence, a country's energy security can be strengthened and economic competitiveness enhanced. Energy utilities have the unique role of navigating an industry in flux driven by policies, technology, and customers to deliver energy securely, to mitigate the environmental impact of energy production and use, and to ensure energy is available to all and at an affordable price. The operational and commercial performance of public and private sector institutions, including energy utilities, can affect social and political tensions and impact a country's stability.

To allow for sustainable energy approaches to grow and to support the massive influx of capital investments across the energy sector, business and technical capacity development are in high demand. Electric power utilities are responsible for strategic investment planning and financing, construction, operations and maintenance of assets. However, inefficient, vertically integrated monopolies often struggle to recover costs, properly maintain system assets and make strategic infrastructure investments to meet growth in demand in many developing countries.

The utility model has traditionally driven the power sector to expand generation and grid infrastructure while improving operational efficiencies. However, today, new technologies, policies, and business models are transforming the energy sector and shaping the evolution of the delivery of electricity services. Utilities, regulators, policy makers, and new market actors must be well informed to navigate a rapidly changing industry.

Today, technological and policy innovations are spurring disruptive transformation across the energy industry and markets globally. According to Bloomberg New Energy Finance (BNEF), by 2040, zero-emission energy sources will make up 60 percent of installed capacity. Wind and solar will account for 64 percent of the 8.6 terawatts of new power generating capacity added worldwide over the next 25 years, and for almost 60 percent of the $11.4 trillion invested. This is because renewables are now cost-competitive with fossil fuels in many markets. Additionally, between now and 2040, emerging economies will build nearly three times as much new energy capacity as developed nations.

As competitive distributed energy technologies and analytics tools open new markets, they have caused a shift in the economics of infrastructure development, but also offer the potential to grow utility earnings. Electric utilities must adapt innovative ways of structuring their businesses to sustain growth and design strategies that include new services and partnerships. Customer information systems and data collection along with customer service training programs will become increasingly important as third parties are also competing to serve customers with rooftop solar, batteries and energy management tools. The utility of the future must be prepared to monitor, control, and optimize grid and system resources to improve performance and asset utilization. In addition, utilities must understand the intricacies of Integrated Resource and Resilience planning for optimum utilization of an electric utility's (or country's) resources.

To address emerging challenges in the electric power sector, utility practitioners in parallel with a diverse consortium of leading companies are needed to navigate and evaluate the economic, regulatory, and technological impacts of the ongoing evolution of the global power sector. Utilities must possess a breadth of skills in operations, maintenance, customer service, finance, human resources, quantitative economic and engineering modeling, with a sophisticated understanding of the complex interactions in the electric power industry.

II. Objective

The purpose of the Energy Utility Partnership Program is to strengthen the capacity of utility executives and employees in USAID-assisted countries to effectively manage and operate power systems, run financially viable businesses, and integrate different types of energy resources into their power grids. These partnerships will bring together professionals/peers to share and discuss real-world power sector challenges and the best means to address them. Activities will focus on grid expansion, planning and strengthening of transmission and distribution systems to satisfy technical, economical, social, and environmental constraints while planning for future scenario options that assess uncertainties and minimize investment risks. Power sector experts will share lessons learned and collaborate to strengthen power systems with more open and flexible grids to integrate distributed energy resources into system planning, operations and investment decisions. In addition, partnership activities will focus on optimizing utility core business functions, as well as, support the adaptation to changing market realities across the full spectrum of power generation, delivery, and utilization.

Data, lessons learned, and related information generated under this mechanism should reside on external USAID platforms, as appropriate. Best practices and information generated under this mechanism should be easy to find, accessible, and usable on the external USAID website.

III. Illustrative Activities

USAID builds energy system planning, procurement, and implementation capability to assist countries and regions in identifying and addressing key barriers to energy security. Through unique partnerships, USAID helps build capacity to operate gas and electricity networks, exporting safety and operational procedures as well as market principles.

In order for utilities to plan to meet future energy demand in the most cost effective way, the topics covered under utility partnerships will depend on each country's unique set of energy sector conditions. Exchanges may cover power purchase agreements from independent power producers, energy efficiency, upgrades to transmission and distribution infrastructure, new technologies, and the growth in customer-sited distributed energy resources. Utilities must also consider a variety of factors which have been magnified in this energy landscape – base load versus peaking power, environmental externalities, resource diversity, and volatility in fuel and commodities markets and their subsequent effects on price stability, and reliability. Understanding this, prior to undertaking any of the activities below, EUPP will assess sector conditions and define country- and region- specific objectives and activities that best respond to the characteristics and needs in the country/ region. Bilateral or regional EUPP programs may encompass one or more of the following:

(1) Bilateral utility partnerships

Objective: Bilateral utility partnerships are intended to facilitate the exchange of experience and information between utilities in USAID-assisted countries and more advanced utilities and energy sector entities from the U.S., and other countries. These partnerships enable the development of long-term relationships between the foreign and developing country utilities and the sharing of hands-on experience and lessons learned. The partner utility is considered a long-term resource for its counterpart in the developing country.

Illustrative Activities: Peer exchanges are the core activities of bilateral utility partnerships and include partnership exchange visits by a delegation of developing country utility staff to the offices of the partner utility and vice versa. Peer exchanges may include site visits, training exercises, simulations, presentations, and individual and group discussions. To maximize results and enable achievement of a specific result or deliverable, exchanges shall be as focused as possible. Exchanges could possibly lead to further technical assistance as described in (3) below. In between peer exchanges, partnerships can be continued remotely through telephone, e-mail and other forms of communication.

(2) Regional utility partnerships

Objective: Cross border trade is increasing as countries seek to pool energy resources to increase access to electricity services and enable resources to be used more efficiently. EUPP will build regional utility capacity to facilitate cross-border trade and strengthen power pools. EUPP assistance may support regional associations to, for example, develop Power Purchase Agreements, strengthen power pool governance and operations, establish transmission and wheeling tariffs, interconnection requirements, reliability standards and harmonized grid codes, and develop transparent and viable commercial frameworks for cross border trade.

Illustrative Activities: Similar to bilateral utility partnership activities described above, EUPP may facilitate the exchange of experience and information between regional system operators and associations from USAID-assisted countries and more advanced authorities from the U.S. and other countries. Activities may encompass peer exchanges, site visits, training exercises, simulations, presentations, and individual and group discussions. Additional technical assistance or advisory services may be required for defined activities that will result in strengthened regional trade and/ or power pool operations. Regional partnership activities should coordinate with and build off bilateral partnership activities, where applicable.

(3) Technical assistance

Objective: To provide technical assistance to utilities in developing countries that require technical expertise either as a complement to utility partnerships or as stand-alone targeted assistance to help the developing country utility with meeting a specific targeted objective, program goal and/or build local capacity.

Illustrative Activity: Technical assistance may take different forms, including but not limited to placement of embedded advisors; job shadowing; drafting or reviewing of policy, legislation, regulations, manuals, and/ or procedures; advising on international best practices; workshops; designing new integrated resource plans, transmission master plans, distribution master planning; power dispatch system plans, customer management and regularization, and improving power purchase agreements.

(4) Training

Objective: To strengthen utility capacity, EUPP includes training for energy staff in USAID-assisted countries. This may include in-country training or support for attendance at workshops or other training programs in the U.S, and/or other countries. In addition to in-person training, EUPP shall support participation by developing country utility staff in webinars and other online training, as appropriate.

Illustrative Activities: EUPP may develop new innovative training tools, such as software simulation, to encourage interactive learning and enhanced collaboration between sector stakeholders. EUPP may include technical modules and courses developed specifically for Training Centers within utilities to maximize reach. EUPP may also develop new mechanisms for building consensus between sector stakeholders. Tools developed under EUPP shall be developed such that they can be tailored to different country conditions and audiences.

(5) Private Sector Coordination

5.1 Private Sector Advisory Council

Objective: With guidance from USAID, the EUPP will assemble a small body of senior-level private-sector representatives to advise developing country partner utilities on a series of pilot activities. The Private Sector Advisory Council will work with the EUPP and USAID to develop a process to vet pilot project ideas around several core areas and provide feedback on proposed pilot program designs.

Illustrative Activities: Pilots may target utility management, planning, operations and/or maintenance challenges where U.S. companies and/or utilities are leading the way in innovations that could greatly benefit developing country utilities and leverage USAID funds. Sub working groups may be developed under The Council based on the pilot utilities and core target area selected.

5.2 Utility-Corporate Partnerships

Objective: The rapid growth in corporate renewable procurements has been one of the biggest recent developments in the renewable energy marketplace. In the U.S., aggressive renewable energy and sustainability goals are being driven mainly by global corporate mandates and economics. In the developing world, price certainty, electricity cost savings, and reliability strengthen the business case for renewable corporate strategies. The Utility-Corporate Partnership activity will work toward streamlining procurement experiences and removing the main obstacles preventing corporations from building renewables into their energy profiles. In parallel, developing country utilities can create new revenue streams, contribute to local economic development and jobs, and adapt to changes affecting the global energy industry.

Illustrative Activities: The Utility-Corporate Partnership activity will package lessons learned around corporate renewable procurement processes and may integrating corporate energy purchases with utility resource planning, Power Purchase Agreements and attractive tariff structure options. Collaboration between a developing country partner pilot utility and consortium of U.S. companies is envisioned to streamline corporate procurement for other corporate buyers with the pilot utility. Longer term, the activity aims to build a community of corporate buyers and utilities to share best practices on corporate renewable energy procurement processes in emerging markets.

(6) Knowledge management

Objective: EUPP may capture, develop and share industry lessons learned and best practices to strengthen the capacity of utilities across all levels of staff to cover: operations, management, maintenance, new business models, loss reduction, customer service, a vast swath of technical areas and other topics as needed. This may include such activities as original research, development of in-depth case studies, webinars, factsheets and roadmaps demonstrating concrete steps to significantly change institutions, communications materials, preparation of model documents, and the compilation of best practices demonstrating lasting change. Climate risk screening should be applied to programmatic activities to improve the effectiveness and sustainability of development interventions. Climate resilience opportunities to strengthen critical infrastructure and equipment procurement planning that can reduce risk to investments should be addressed throughout planning phases with partners. USAID will work with partners in making sound development decisions regarding the siting, design and maintenance of infrastructure.

Illustrative Activity: The communications strategy should explain the process for promoting partnership activities and executive exchanges through social media and summarizing events. All communications materials will be posted online in clear, searchable formats to institutionalize lessons learned from all utility partnerships and executive exchanges in core areas covering basic and essential areas of utility management, planning, operations and maintenance. EUPP may develop digital and other media to share knowledge management products effectively with developing country audiences. As needed, EUPP may provide this in a format that can be used by beneficiaries without robust internet connectivity. To disseminate learning, EUPP may host events and forums to exchange ideas, information, best practices, and experiences that will enable energy stakeholders to have the knowledge and capacity to meet evolving energy sector challenges. EUPP may host public briefings and events to bring in strategic investors interested in medium to long term investments to rehabilitate and modernize developing country utilities.

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SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide $20 million in total USAID funding over a five year period. The ceiling for this program is $20 million. Actual funding amounts are subject to availability of funds.

USAID intends to award one (1) Cooperative Agreement pursuant to this notice of funding opportunity.

USAID reserves the right to fund any one or none of the applications submitted.

2. Start Date and Period of Performance for Federal Awards

The period of performance anticipated herein is five years. The estimated start date will be upon the signature of the award.

3. Substantial Involvement

USAID intends to award a Cooperative Agreement to the applicant whose application, conforming to this NFO, offers the greatest value in furthering the goals of the program described in Section A of this NFO. A Cooperative Agreement is distinguished from a grant by virtue of USAID having substantial involvement in the implementation of the program.

USAID will be substantially involved in the implementation of the program described in Section A of this NFO in accordance with ADS 303.3.11. Substantial involvement will include the following:

(i) Approval of the recipient's implementation plans;
(ii) Approval of specified key personnel;
(iii) Agency and recipient collaboration or joint participation including;
   a. Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.
   b. Concurrence on the substantive provisions of sub-awards.
   c. Approval of the recipient's monitoring and evaluation plans.
   d. Monitor to authorize specific kinds of direction or redirection because of interrelationships with other projects.
(iv) Agency Authority to Immediately Halt a Construction Activity (if applicable)

4. Title to Property

Property title under the resultant agreement shall vest with the recipient in accordance with the Requirements of 2 CFR 200 and 2 CFR 700 and USAID Standard Provisions for U.S. or Non-U.S. Non-Governmental Organizations, whichever applicable.

5. Authorized Geographic Code

The geographic code for this program is 937.

6. Purpose of the Award

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the Energy Utility Partnership Program (EUPP) which is authorized by Federal statute.

The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award. The Recipient using its own unique combination of staff, facilities, and experience, has the primary responsibility for employing whatever form of sound organization and management techniques may be necessary in order to assure proper and efficient administration of the resulting award.

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SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

U.S. and NON-U.S. Organizations may participate under this NFO. Non-US organization must comply with authorized source origin code 937.

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

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant(s) will be subject to a responsibility determination assessment (Pre-award Survey) by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

2. Cost Sharing or Matching

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.

The USAID funding plus any cost-sharing (matching) provided must not exceed the $20 million ceiling amount.

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SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Name: Selam Demissie
Title; Agreement Specialist
Email: sdemissie@usaid.gov

Name: Charlie Brown
Title: Agreement Specialist
Email: cbrown@usaid.gov

Questions and Answers:

All questions regarding this NFO should be submitted in writing to Selam Demissie and Charlie Brown to the e-mail addresses above.

Questions regarding this NFO should be submitted electronically to the email addresses above no later than the date listed on the coversheet of this NFO to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation. Any information given to a prospective Applicant concerning this NFO will be furnished promptly to all other prospective Applicants as an amendment to this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

2. Content and Form of Application Submission

Applicants are expected to review, understand, and comply with all aspects of the NFO.

Preparation of Applications:

Each Applicant shall furnish the information required by this NFO. Applications shall be submitted in two separate parts: (a) Technical Application, and (b) Cost/Business Application. **Please note that USAID email server has a limitation of 25MB.**

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the 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 {insert sheet numbers} and, mark each sheet of data it wished 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."

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

3. Application Submission Procedures

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time.

Electronic submission is required by USAID. Applications, application modifications, and revised applications/addenda must be submitted via email to the Agency Point of Contact for this NFO, Selam Demissie (sdemissie@usaid.gov) and Charlie Brown (cbrown@usaid.gov).

Applicants may upload applications to http://www.grants.gov. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

For an application sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Application, Part 1 of 2".

Our preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear. All applications received by the submission deadline will be reviewed for responsiveness to the NFO and the application format. No addition or modifications will be accepted after the submission date.

After you have sent your applications electronically, immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

4. Technical Application Format

The technical application will be the most important factor for consideration in selection for award of the proposed Cooperative Agreement. The technical application should be specific, complete and presented concisely. The application should demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and evaluation criteria found in this NFO.

USAID requests that applications be kept as concise as possible. Detailed information should be presented only when required by specific NFO instructions. **The written Technical Application is limited to 50 pages inclusive of the elements identified in this section and all attachments (with several exceptions listed below).**

The Technical Application should be in English. Applicants shall use only 8.5 inch by 11 inch paper, single-spaced pages and number each page consecutively. Applicants must use Arial 11-point font or a similar typeset. Information submitted in the Technical Application over 50 pages **will not** be evaluated.

The Technical Application's 50-page limit does not include the following:

- Cover Page, which should include program title, NFO reference number, name of organization(s) applying for the agreement, any partnerships, and the primary contact person for the application (including title, email, phone and signature of that individual)
- Table of Contents
- Executive Summary
- Annexes
- Diagrams

The Technical Application should include the following elements:

A. Technical Approach (15-pages maximum)

This section must demonstrate the Applicant's understanding of energy utility business models, management, operations and challenges and their relationship to development, as well as how the Applicant intends to use a variety of programmatic techniques to address the program objectives. The Technical Approach section must clearly describe:

- Best practices related to how development assistance can improve the financial, technical, and operational environment surrounding electricity generation, transmission and distribution, including knowledge of fundamental principles, awareness of key issues, familiarity with current practices, and identification of emerging trends.
- An approach, in addition to specific and appropriate illustrative partnership activities for undertaking each component of the program's bilateral, regional, private sector and training objectives.
- Two illustrative pilot project ideas integrating the Private Sector Advisory Council and describing its approach, focused on two core areas such as: Grid Integration; Loss Reduction and Metering; or Integrated Resources Planning.
- A cross-cutting approach to gender equality and women's empowerment across all components. All executive exchanges, capacity building events, seminars, and workshops planned should include efforts to encourage those nominating or selecting participants to identify women that exhibit the necessary skillsets and potential for leadership such that there is gender parity among individuals sent to participate. When possible, women, women-led companies, and women's organizations should be included as trainers and subject matter experts.

B. Technical Capabilities (10-pages maximum)

The application must provide evidence of the applicant's capability to conduct the variety of activities described in the Program Description. The Technical Capabilities section must clearly demonstrate:

- The applicant's ability to draw on present and former utility and energy sector experts in the U.S. or internationally, who have personal experience and technical expertise in issues faced by utilities in USAID-assisted countries, to participate in peer-to-peer exchanges and other partnership programs.
- An ability to design interventions in response to evolving challenges in the energy sector in USAID-assisted countries, and to implement such interventions using capable and credible partners.
- A rapid programmatic response capability for responding to unanticipated needs.
- An ability to build the capacity of utilities in USAID-assisted countries to play a lead role in transforming how energy is operated and managed by applying international best practice when addressing overall power systems and needs to modernize infrastructure.

C. Management Structure (9-pages maximum)

The application must provide evidence of the applicant's ability to administer the award in an efficient and cost-effective manner. This section must address the applicant's proposed management structure and how it contributes to the achievement of program goals. The Management Structure section must clearly describe:

- The applicant's administrative arrangements for the overall implementation of the program, including organizational structure for technical and operational management, brief biographical information on key management and technical personnel, and the applicant's approach to program monitoring, data management and reporting.
- Plans to include local and regional stakeholder perspectives into planning, program implementation and monitoring activities.
- Plans to engage with private sector to share new business model practices that are effectively embracing new technologies, policies, and customer preferences that are transforming utilities.
- Approach to assessing and mitigating the risk of doing harm via assistance under this award.
- An illustrative monitoring and evaluation plan including gender components (such as sex disaggregated data, progress on gender equality, and new opportunities for women and men).
- An illustrative communications strategy to explain: 1) how best practices and lessons learned covering basic and essential areas of utility management, planning, operations and maintenance will be institutionalized and posted online in clear, searchable formats; 2) a standardized approach to promote and summarize partnership activities and executive exchanges through social media and other outlets; 3) how The Private Sector Advisory Council will document proven cutting edge technologies and business models that have helped utilities achieve operational and efficiency improvements while making the connection to solve common challenges within USAID-partner utilities.

D. Key Personnel (8-pages maximum)

The application must provide evidence of the applicant's ability to recruit, employ and retain skilled individuals to successfully manage the Cooperative Agreement. This NFO identifies three Key Personnel positions; however, the applicant may propose additional positions as Key Personnel, as appropriate. The Personnel section must clearly describe:

1. Energy Utility Partnership Program Director

The Energy Utility Partnership Program Director is responsible for overall administration and management of the project. The Director must serve as the Institutional Liaison and must be responsible for chief administrative oversight for the project. Major activities may include: (i)Primary project point of contact for USG, private sector entities, and other key stakeholders; (ii) Technical leadership and supervision of staff and consultants; (iii) Quality control and timely delivery of outputs; (iv) Supervision of the preparation of work plans, progress reports, financial reports, logistics, communications and other documents; and (v) and primary liaison with USAID through USAID's Agreement Officer and the Agreement Officer's Representative.

The Director must have the following minimum set of qualifications:

1) At least fifteen years of professional experience in the development and management of capacity building programs for global energy sector stakeholders on issues related to integrated resource planning, loss reduction, policy development, reliability, sustainability, distributed energy resources, and renewable grid integration.
2) Proven leadership in the management of similar size international donor support programs with demonstrated strategic planning, management, supervision and budgeting skills.
3). Strong network of global energy sector experts and technology leaders.
4) Experience working with senior government officials, private sector leaders, and other stakeholders in the energy sector.
5) Experience in assisting private sector participation and restructuring in the energy sectors of developing countries
6) Demonstrated skills in building, mobilizing, and leading multidisciplinary teams;
7) Exceptional communication and interpersonal skills.

2. Utility Sector Technical Lead (USTL)

The Utility Sector Technical Lead supports the director in day-to- day project management. The USTL will monitor and integrate the latest industry trends, technologies and best practices into partnership programs to enhance service delivery and efficiency. Energy efficiency experience, technical analysis, and experience deploying technology aimed at enabling key business strategies is viewed favorably. The Utility Sector Technical Lead must have the following minimum set of qualifications:

1). At least ten years of professional engineering experience as utility staff or embedded advisor in a developing country utility.
2.) Bachelor of Science in Engineering Degree.
3). Proven leadership in transmission and/or distribution planning, design and execution.
4). Demonstrated expertise to assemble, mobilize, and supervise multiple teams of energy advisors to simultaneously address myriad global technical challenges.
5). Experienced trainer of utility personnel.

3. Utility Sector Operations Lead (USOL)

The Utility Sector Operations Lead supports the director in day-to- day project management. The USOL should demonstrate expertise in strategic planning to enhance the operational and financial performance of utilities through: employee development; project management; construction management; finance and accounting; energy procurement; process improvement and controls; automated energy management; billing; customer relations; establishing and monitoring key performance indicators; integrated resource planning; IT systems; risk management; sector reform; and regulatory compliance.
The Utility Sector Operations Lead must have the following minimum set of qualifications:

1). At least ten years of professional experience as utility staff or embedded advisor in a developing country utility.
2.) Bachelor of Science in Engineering Degree.
3). Proven leadership in implementing strategies that increase collection rates and reduce losses, strengthen financial systems and internal controls, improve personnel management and deliver better customer service.
4). Demonstrated expertise to assemble, mobilize, and supervise multiple teams of energy advisors to simultaneously address myriad global operational and strategic business challenges.
5). Experienced trainer of utility personnel.

E. Past Performance (8-pages maximum)

An applicant's history of performance can serve as an indicator of the quality of its future performance. Applicants shall describe their experience in successfully conducting energy utility partnership programs in an international context using the Past Performance form provided in Section I, Annex I. Applicants must provide a list of all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers. The Past Performance section must clearly describe:

- The applicant's track record implementing similar programs.
- Specific examples of how the applicant has learned from previous failures.
- Examples of the applicant's ability to be effective working with local utilities in challenging environments.
- Examples of how the applicant has built successful partnerships between utilities and key energy sector stakeholders in multiple countries.
- Examples of how the applicant has applied do no harm principles.

5. Cost Application Format

The Applicant must sign and submit the cost application standard form number SF-424 and SF-424A. Standard Forms can be accessed electronically at www.grants.gov.

The Cost or Business application is to be submitted under a separate cover from the Technical application. The Cost/Business application is also to be submitted electronically to the point of contacts and email addresses specified above. Cost information shall be in Microsoft Excel 2000 or later format with calculations and formulas that are not locked. The Applicant is requested to submit a budget broken down by program years with an accompanying detailed budget narrative (in Word 2000 or Word 2003 text accessible) which provides in detail the total costs for implementation of the program as further detailed below.

Certain documents are required to be submitted by an Applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden Applicants with undue reporting requirements if that information is readily available through other sources. There is no page limit on the Cost Application. However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NFO is not desired. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

If the Applicant has established a consortium or other legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and Sub-Applicant(s) including identification of the Applicant with whom USAID will work with for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals there to to be held jointly and severely liable for the acts or omissions of the other. The following sections describe the documentation that the Applicants must submit to USAID prior to award. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary details to address the following:

1. The budget must have an accompanying detailed budget narrative and justification that provides in detail the total program amount for implementation of the program your organization is proposing. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.).

2. A budget for each program year with an accompanying detailed budget narrative which provides in detail the total costs for implementation of the program. The budget must be submitted using Standard Form 424 which can be downloaded from the following web site at: http://apply07.grants.gov/apply/FormLinks?family=15

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

4. Applicants who intend to utilize contractors or sub-awardees should indicate the extent intended and a complete cost breakdown. Extensive contracts/agreement financial plans should follow the same cost format as submitted by the primary Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the program should be provided.

Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting proposed by the contractor, and the quality of its record of past performance for similar work. For-profit contract organizations that work under the award and do not meet the above definition of a sub-awardee are eligible for profit/fee.

The cost/business application should contain the budget categories as shown on the SF-424A.

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 the applicant does not have a NICRA, it should submit the following:

<u>Reviewed Financial Statements Report</u>: a report issued by a Certified Public Accountant (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

<u>Audited Financial Statements Report</u>: 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.

Cost sharing is suggested, but not required. If the applicant proposes cost sharing, the applicant should estimate the amount of cost-sharing resources to be mobilized over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. Applicants should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting Cooperative Agreement.

The business section of the cost/business application should include:

1. Required assurances, certifications and representations found in Section I, Annex 2.

2. Evidence of responsible the Agreement Officer can use to determine the Applicant

a. Has adequate financial resources or the ability to obtain such resources as require during the performance of the award;
b. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
d. Has a satisfactory record of integrity and business ethics; and
e. Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

3. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

4. Statutory and Regulatory Certifications
The Applicant shall complete the certifications in Section IV, B. Required Certifications and sign and date in the signature space provided. The signed and dated printout must then be submitted with the application as an annex to the cost application. Original signed hardcopy of the certifications will be requested from the successful applicant prior to the agreement award.

Potential Request for Additional Documentation

Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. **<u>Applicants should not submit the information below with their applications.</u>** The information in this section is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer:
The information submitted should substantiate:

1. Bylaws, constitution, and articles of incorporation, if applicable.
3. Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should provide copies of the same
.

Required Certifications

The 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.

In addition to the certifications that are included in the SF-424, additional certifications may be required during negotiation of the award.

Unique Entity Identifier and System for Award Management

Dun and Bradstreet and SAM.gov Requirements

USAID may not award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. Each applicant is required to:

(i) Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient.;

(ii) Provide a valid unique entity identifier in its application; and

(iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time.

Branding Strategy and Marketing Plan

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

These regulations and provisions include the requirement for the apparently successful applicant to submit a branding strategy and marketing plan for pre-award review, negotiation, and approval by the Agreement Officer. Under these regulations and provisions, the branding strategy and marketing plan 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 branding strategy and marketing plan by a time specified by the Agreement Officer. Thus, the initial cost/business application is not required to include a branding strategy and marketing plan.

However, applicants are encouraged to submit their branding strategy and marketing plan with their initial cost/business applications. While this component is not required, and will not be evaluated competitively, waiting until the negotiation period for approval and negotiation of the apparently successful applicant's branding strategy and marketing plan may result in delay of the award. Additionally, failure to submit or negotiate a branding strategy within the time specified by the Agreement Officer will make the apparently successful applicant ineligible for the award.

Funding Restrictions

USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

SECTION E: APPLICATION REVIEW INFORMATION

1. Review and Selection Process

Applications will be evaluated in accordance with the criteria set forth below. To facilitate the review of the applications, applicants should organize their narrative sections of the application in the same order as the evaluation criteria. After evaluation of the applications, 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 prefers 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.

USAID intends to make an award to the responsible applicant whose application, application modification, and/or revised application/addendum represents the greatest value to USAID based on the evaluation of applications in accordance with the evaluation criteria set forth below.

2. Criteria

A. Technical Evaluation
USAID will conduct a merit review, using adjectival ratings of all applications received that comply with the instructions in this NFO. Applications will be reviewed and evaluated in accordance with the following criteria shown in descending order of importance:

Technical Approach (40 %) The extent to which the proposed technical approach demonstrates a clear understanding of the objectives of the program and a convincing approach to achieve them. USAID will consider: ● Demonstration of understanding of best practices related to how development assistance can improve utility business processes, management, and operations surrounding electricity generation, transmission and distribution, including knowledge of fundamental principles, awareness of key issues, familiarity with current practices, and identification of emerging trends. ● Inclusion of specific and appropriate illustrative partnership activities for achieving the program's objectives and anticipated results. ● Incorporation of an approach to gender that will inform programming in specific, context-appropriate ways.
Technical Capabilities (30 %) The extent to which the applicant's institutional and technical capabilities reflect the ability to effectively implement this program. USAID will consider: ● The extent to which the applicant has an ability to draw on present and former energy sector and utility experts in the U.S. or internationally, who have personal experience and technical expertise in issues faced by energy sector practitioners in USAID-assisted countries, to participate in peer-to-peer exchanges and other partnership programs. ● Presentation of the applicant's ability to design interventions in response to changing issues for utilities in the energy sector in USAID-assisted countries, and to implement such interventions using capable and credible partners. ● Demonstration of a rapid programmatic response capability for responding to unanticipated needs. ● Demonstration of an ability to build the capacity of energy sector practitioners in USAID-assisted countries to better understand their roles in assessing environmental and social impacts and applying international best practice when addressing overall utility best practices.

Key Personnel (20 %)

The extent to which the proposed Key Personnel and other non-key personnel convincingly demonstrate the ability to successfully and effectively implement the proposed program. USAID will consider:

- Appropriate qualifications and experience for any proposed personnel.

Management Structure (5 %)

The extent to which the proposed management plan will contribute to successful implementation of the program. USAID will consider:

- Clarity of the applicant's administrative arrangements for the overall implementation of the program, including organizational structure for technical and operational management, brief biographical information on key management and technical personnel, and the applicant's approach to program monitoring, data management and reporting.
- Plans to include local and regional stakeholder perspectives into planning, program implementation and monitoring activities.
- Plans to engage with private sector to share new business model practices that effectively embrace new technologies, policies, and customer preferences that are transforming utilities.
- Soundness of the applicant's approach to assessing and mitigating the risk of doing harm via assistance under this award.
- Incorporation of an illustrative monitoring and evaluation plan.
- Incorporation of an illustrative communications strategy

Past Performance (5 %)

The extent to which the applicant and its partners, if any, demonstrate successful past performance in achieving success with similar programs. USAID will consider:

- The applicant's track record implementing similar programs.
- Specific examples of how the applicant has shared data and associated information resources in easy to find, accessible, and usable formats.
- Specific examples of how the applicant has learned from previous failures.
- Examples of the applicant's ability to be effective working with local utilities in challenging environments.
- Examples of how the applicant has built successful partnerships between utility partners in multiple countries.
- Examples of how the applicant has applied do no harm principles.

B. Cost Evaluation

While Cost is less important than technical and is not weighted, the cost applications of the apparently successful technical applications will be evaluated for cost effectiveness including the level of proposed cost share, if any. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured for a responsibility determination.

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

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

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SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Award of the agreement contemplated by this NFO 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.

2. Administrative & National Policy Requirements

For U.S. organizations, 2 CFR 700, 2 CFR 200, and ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations are applicable.

For non-U.S. organizations, ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations will apply.

3. Reporting Requirements.

All written documentation must be submitted in professional-level English. Reports must be submitted to USAID in Arial size-11 font 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.

A. Annual Work-Plan

The annual implementation plan 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.

B. Performance Monitoring Plan

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.

C. Program Reporting

The Recipient shall electronically submit all performance reports to the AOR in USAID/Washington. All country-level, regional-level and local-level activities 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 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. Quarterly progress reports will also include a section summarizing any ongoing rapid response 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. Quarterly reporting will also include a specific section that includes brief pipeline analysis of the status of funds available in the core leader agreement. The Recipient shall also submit an electronic copy of each quarterly progress report to the USAID Development Experience Clearinghouse.

Annual Performance 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.

D. <u>Financial Reporting</u>

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. 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." 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.

Development Experience Clearinghouse Requirements:

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.

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.

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.

Environmental Compliance

(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 NFO 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 NFO 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 NFO provided that they are otherwise in accordance with the terms and conditions of the award.

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

The points of contact for this NFO and for any questions during the NFO process are:

Selam Demissie – sdemissie@usaid.gov

Charlie Brown – cbrown@usaid.gov

SECTION H: OTHER INFORMATION

1. **Regulations and References:**
    - **a.** Code of Federal Regulations, Title 22 Foreign Relations, Chapter II - Agency for International
    - b. Development USAID Policies and Procedures
    - c. Mandatory Standard Provisions for U.S., Nongovernmental Recipients
    - d. Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients
    - e. 2 CFR 230 - Cost Principles for Non-Profit Organizations (OMB Circular A-122)
    - f. 2 CFR 215 - Uniform Administrative Requirements for Grants And Agreements with Institutions

2. **Annexures:** **a. Past Performance Form**
    b. Assurances, Certifications and Representations
    c. SF424 Series

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