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RFA No. SOL-521-13-000017

Issuance Date: April 23, 2013
Questions and Answers: April 30, 2013
Closing Date: May 14, 2013
Closing Time: 12:00 noon, Port-au-Prince, Haiti local time

Subject: Request for Applications (RFA) Number SOL-521-13-000017
Community Development Program for Caracol-EKAM Housing Project

The United States Agency for International Development (USAID) is seeking applications to fund a **Cooperative Agreement for the Community Development Program for Caracol-EKAM Housing Project**. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objectives for a 24-months period from the date of award. Please refer to the Program Description for a complete statement of goals and expected results.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense. USAID reserves the right to fund any or none of the applications submitted.

Questions should be submitted in writing via e-mail to Mr. Gerard Casimir, Acquisition and Assistance (A&A) Specialist, at gcasimir@usaid.gov with copies to oaahaiti@usaid.gov (see **Sections IV and VII** of this RFA.) Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

Nathaniel Scott
Agreement Officer
USAID/Haiti

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SECTION I

Program Description for Caracol-EKAM Community Development Program

INTRODUCTION

USAID is seeking organizations to implement a 24-month community development project to support the newly installed residents of the Caracol-EKAM housing development, which USAID has constructed in partnership with the Government of Haiti (GOH). The site is located in the country's Nord commune near the Caracol Industrial Park and will contain 750 single-family homes. To complement the construction of these housing units and the associated infrastructure (water, sanitation, roads and footpaths, street lighting and electricity), the grantee shall engage in an array of activities designed to help ensure the long-term sustainability of the new community. These activities shall include, but are not limited to: beneficiary sensitization and move-in; social and economic support activities; support of day-to-day site management; operational and technical assistance to GOH entities engaged with the site, including the Government's Entreprise Publique de Promotion de Logements Sociaux (EPPLS) unit; and, governance and community relations.

BACKGROUND

In response to Haiti's January 2010 Earthquake, the U.S. Government (USG) embarked on a "New Settlements Program" to help replace housing stock lost in the disaster. In close collaboration with the Government of Haiti (GOH), the USG has developed a plan to construct permanent homes and associated infrastructure on new "greenfield" sites in the Port-au-Prince, Saint Marc, and Cap Haitien "Development Corridors".

The first and largest of these sites is Caracol-EKAM. Located in the Cap Haitien Development Corridor (CHDC), the EKAM site has been under construction for approximately one year and is expected to be ready to receive new residents in summer 2013. The land on which the homes are located has been authorized by the Ministry of Finance as a social housing site, under the jurisdiction of the Government's Entreprise Publique de Promotion de Logements Sociaux (EPPLS) unit. The new homes are intended for households displaced by the 2010 earthquake, as well as other vulnerable households living in sub-standard or at-risk housing conditions. All efforts are being made to target families living in the immediate vicinity of the site. Beneficiaries for Caracol-EKAM have already been selected through a transparent, equitable process that was led by the local municipality, with significant input from local community groups and religious and business leaders. USAID, through its ongoing Emergency Capacity Assistance Program (ECAP), assisted this process.

Current plans being formulated by the GOH and USAID call for beneficiary households to sign a contract with EPPLS that commits them to a five-year lease-to-own arrangement for the home. Rent and community management payments will be modest, and designed to be affordable for vulnerable households (the current estimate for monthly rent is approximately 1,000 gourdes and will be confirmed by the GOH in the coming months). It is important to note that rental amounts will not be designed to recoup any of the costs of the home construction or site development, but will instead be used to support ongoing services, maintenance and administrative support at the site.

After five years of full payment, each household will receive an official title to the home. The land will remain in the possession of the GOH, but will be designated as a social housing site in perpetuity, with households assured of access to the land for as long as the home is occupied. Given EPPLS' critical role in the program, support and capacity building for their on-site team will be an important part of the program. It is anticipated that this team will consist of a small number (2-5) of EPPLS employees, who

will be responsible for the site for a minimum of five years. The team will be responsible for collecting rents, enforcing contracts, overseeing upkeep of communal areas as well as any other tasks defined in the final contract signed between the beneficiaries and EPPLS.

PROJECT OVERVIEW

More than just infrastructure, the goal of the new settlements program is to create new *communities*, which have the necessary social, economic and governance components in place to ensure that the new residents are able to thrive in their new neighborhood. Given the limited duration of this program (24 months), the Grantee must focus on building and strengthening institutions and processes at the national, local and community levels that will ensure long-term sustainability. In particular, the program shall be planned and implemented in close collaboration with EPPLS, the GOH's Unite de Construction de Logements et des Batiments Publics (UCLBP), as well as local government representatives and institutions, and the existing communities in the area.

The proposed program must be carried out according to the following guiding principles:

- Residents should be intimately involved in all decisions about their future and the future of their community. Gender issues should be addressed during the facilitation of all collective decision making.
- Each program activity must focus on reinforcing the long-term social, financial and environmentally sustainability of the community, providing the residents with the information, skills, resources and institutional structures they will need to help their community thrive over the medium- and long-term
- The program must work with and through existing local and national government structures to the greatest extent possible, prioritizing long-term sustainability over short-term deliverables
- The program must strive to integrate the site into the surrounding neighborhood fabric, and to pursue activities that will benefit the entire community, as opposed to only the Caracol-EKAM residents
- The community --- and the program --- must be approached holistically, with a recognition that a thriving community is about more than just homes and infrastructure, but also involves social, economic, environmental, institutional and cultural factors
- The program implementer must work closely with the GOH and other USAID partners that are constructing similar social housing programs, and work to harmonize approaches across these various initiatives to the greatest extent possible. This will increase the likelihood of success, and decrease the possibility of conflicts across communities

PROGRAM WORK OBJECTIVES AND TASKS

At a minimum, the Grantee shall focus on the five Program Work Objectives and associated tasks listed below. The Grantee may also choose to propose additional interventions that adhere to the guiding principles above, and help forward the goal of creating a socially and economically sustainable community at the Caracol-EKAM site.

1) Beneficiary Sensitization, Final Selection and Move-in

The Grantee's first work objective under the new award shall be to assist selected beneficiary households as they move into their new community. The Grantee shall facilitate the handover of homes to their new occupants, beginning within five weeks of the award and continuing until all 750 homes are inhabited (see below for estimated timeline). This potentially time-consuming and logistically complex

undertaking will set the tone for all future engagement with the new community, and is thus of great importance.

The following tasks will be critical for the successful completion of this work requirement:

- *Contact and begin liaising with pre-selected beneficiaries (contact info to be provided by USAID and/or ECAP)*

Over the past year, USAID, through its Emergency Capacity Assistance Program (ECAP), has been working with the GOH and local community leaders to identify, vet and select beneficiaries for the EKAM homes. Immediately after project mobilization, the Grantee shall begin to make contact with each of these households. All contact information and locations of each household will be provided by USAID / ECAP to help facilitate this process. Household demographic and socioeconomic data that has been collected from the families will also be provided. When making contact, the Grantee shall confirm that all pre-selected households are still interested in and eligible for the project, and ensure that they have all of the necessary information and support they need to begin the move into their new community. The Grantee shall be responsible for supplementing or adjusting the current list of approved beneficiaries, should it be necessary. Grantees should make recommendations for how to make the final selection of beneficiaries and the move-in process as smooth as possible in the first Work Plan.

Frequent and clear communications with the families — both over the phone and in person — will be essential to begin to forge strong relationships with each beneficiary household. Given that the households are currently spread across several communes in the Nord and Nord-Est Departments, this process may require substantial staff time during the initial outreach phase.

- *Organize a series of site visits and pre-move counseling sessions for proposed residents*

Living in the new Caracol-EKAM community will entail both rights and responsibilities, and each household accepting the offer to take up residence there must have a clear understanding of the financial and social obligations that they will be expected to meet.

ECAP has already worked extensively to vet and sensitize each pre-selected household. To finalize this process ahead of move-in, the Grantee shall set up a series of meetings in their current areas of residence and on the site to discuss the terms of the contractual agreement the household will be expected to sign with the GOH/EPPLS, work with EPPLS to ensure that all new residents have signed, and develop a process for assigning each household a specific home through a transparent and equitable process.

The exact process for adequately sensitizing each household shall be finalized in the Grantee's first work plan, which will be approved by USAID. To help inform this plan, the Grantee shall research what has been done at other similar sites, including the GOH's Zoranje housing project and the DLA 1.5 housing site in Haut Damier, financed by USAID. Based on this research, and their team's own experience and expertise, the Grantee shall describe in the work plan how they propose to meet these objectives, and/or how they would recommend adjusting them to be as efficient and effective as possible.

- *Phased move-in of residents, accompanied by ongoing site orientations and trainings, in close coordination with EPPLS*

The speed of the move in, which is a priority, must be balanced against the need to ensure a well-regulated and smooth move-in for each household, the new residents, and the host community. Doing so effectively will likely require the Grantee to have a permanent, daily presence on site beginning by the first week of the move-in.

In addition to logistical and communications efforts that will be required to facilitate the move-in, the Grantee shall also provide orientations and trainings to immediately familiarize the new residents with the various rules and processes that will ensure a smooth-functioning community (many of which will be defined via a participatory process; see “Governance and Community Relations” section below for more info). The majority of these trainings --- on specific issues such as water and sanitation arrangements at the site, maintenance of communal areas, security regulations, etc. --- will likely be most critical in the first weeks and months of site occupation, with follow-up sessions occurring on an intermittent, though decreasing, basis. The Grantee shall present detailed plans for the move-in and subsequent orientations/trainings in the first Work Plan.

It will be critical that all move-in efforts are conducted in close collaboration with the EPPLS site team and the provisional Community Management Committee set up by ECAP (see “Governance and Community Relations” section below for more info). Including these entities in the decision-making process and making them a visible part of the new community’s leadership and site management activities will help lay the groundwork for the long-term sustainability of the site. As with the coordination of the site visits discussed above, the Grantee shall research lessons-learned during the move-in process at other housing sites being managed by the GOH and other NGOs.

2) Governance and Community Relations

The establishment of durable governance structures and strong community relations will be critical during the efforts to help foster a thriving community at the Caracol-EKAM site. The groundwork on which to develop these important aspects of the community has already begun under the ECAP program, and will need to be continued over the course of the project. Doing so will require working to facilitate coordination on a wide range of issues between the following stakeholders: site residents, the Community Management Committee (CMC), commercial tenants on the site, EPPLS, the local municipality, service providers (principally DINEPA for water and sanitation and EDH for electricity), and national government structures, including UCLBP.

- *Provide ongoing support to the nascent Community Management Committee (CMC)*

To ensure strong community participation in all aspects of the new community, a formal CMC is being established for the site. This representative body will be composed of community residents and will form the principal on-the-ground governance structure for the new community.

ECAP and USAID have worked to form a provisional version of this new body, but ongoing support to strengthen and expand it will be necessary. A detailed program of day-to-day

administrative support and medium-term training and capacity building for the CMC shall be included in the first and second work plans, respectively. All efforts shall be made, from the very beginning of the project, to put the responsibility and authority for all aspects of site management in the hands of the CMC and the EPPLS team assigned to the site (see the section on “Operational Support and Capacity Building for EPPLS Site Team” below for more info). It may be useful to generate support and trust for the CMC from the wider community by organizing a participatory forum and getting buy-in by community members regarding critical aspects of the CMC roles.

Prior to and during the project’s phase-out, the Grantee shall work to prepare the CMC for conversion into a fully-functioning, formal entity capable of assuming ongoing, community-led leadership for the site. For example, the CMC will need to have the ability to: collect usage fees to support community-wide services; make transparent, democratic decisions on issues affecting the use of communal areas; and continue to represent the community in its dealings with all types of external actors (surrounding communities, the GOH, private sector, NGOs, donors, etc.). In designing and implementing their approach to this task, the Grantee shall draw heavily on the experience and lessons-learned of various other organizations currently working to set up this type of system in other new housing settlements in Haiti.

- *Lead the community and other stakeholders in a participatory process to define community rules, regulations and governance structures; help the community to promote, publicize and enforce these rules.*

Closely related to the strengthening of the CMC, the Grantee shall engage in an ongoing series of participatory planning sessions during which the new community residents will together establish how the various aspects of the new community will function. This undertaking must build on the work that ECAP has done with planning workshops during its current grant. Grantee shall provide a clear and comprehensive approach for achieving this objective in the first Work Plan.

- *Facilitate host community integration; conduct conflict prevention and conflict mitigation activities as needed*

Throughout the course of the project, the Grantee shall pay particular attention to any potential for tension or conflict in and around the site — either within the new community or between the new residents and the other communities in the area. Preventing or resolving any such problems will require good relations with all relevant stakeholders, as well as a proactive plan to continuously monitor the situation on the site and in the surrounding zone. As such, the Grantee shall be prepared to conduct a risk analysis of the potential for tension/conflict on the site in the first work plan, as well as recommendations for addressing these issues; ongoing monitoring shall be performed thereafter.

Similarly, the Grantee shall identify ways that the new settlement’s residents can be proactively drawn into the social, economic, cultural and administrative systems of the surrounding communities.

- *Facilitate community interaction with the local municipality, DINEPA and EDH, and any other entities that will provide services and support to the community.*

A key aspect of life in the community will be the provision of modern standards for water and electricity. These services will be provided through the GOH’s Direction Nationale de

l'Eau Potable et de l'Assainissement (DINEPA) and L'Électricité d'Haïti (EDH), respectively. The Grantee must work with the community, the local municipality and the service providers to ensure that these systems are functioning smoothly and that adequate rules, regulations and governance structures are in place to continue to do so over the long-term.

3) Operational Support and Capacity Building for EPPLS Site Team

USAID is completing the Caracol-EKAM housing project in close collaboration with the Government of Haiti (GOH), and the Government's EPPLS unit will be the legal entity responsible for overseeing the site's management. To assist the EPPLS in fulfilling this mandate, USAID will work with EPPLS and the GOH to ensure that there is a dedicated EPPLS team assigned to the site.

The land on which the EKAM site sits is designated as an official social housing area, under the administration of EPPLS. Initially, EPPLS will also be the legal owner of each of the homes, and beneficiaries will enter into a five-year lease-to-own contract for these structures. EPPLS will be responsible for collecting lease payments from the inhabitants, and will transfer the ownership of the home to them, provided that the household is up-to-date on its payments has successfully met all other terms of the contract.

During its minimum of five years on the site, EPPLS will be required to perform the following critical tasks:

- Rent collection
- Oversight and enforcement of home lease-to-own contracts
- Execution of fines and/or evictions, if necessary
- Maintenance of communal spaces, including tertiary roads and footpaths; and,
- Any other obligations stipulated in the final contract between EPPLS and the residents.

Once mobilized, the Grantee must immediately engage with the local, regional and national EPPLS staff to develop a plan for support to the local team to ensure that they can successfully perform these challenging tasks. A comprehensive plan for support and capacity building for the EPPLS team will be due in the second work plan (see below). USAID envisions this assistance including formal trainings, on-the-job capacity building, operational assistance on specific tasks, material support (in the form of basic office equipment), and any other critical needs that the EPPLS site team may need to perform its work.

As with the CMC, the Grantee must empower EPPLS to perform its duties, and not simply complete tasks on their behalf. Providing EPPLS and the GOH with the support they need to be at the forefront of all aspects of site management will help lay the groundwork for the long-term sustainability of the new community.

4) Support of Day-to-Day Management of the Site (see responsibilities matrix below for additional details)

In addition to setting up longer-term governance structures as outlined above, the Grantee must ensure that any and all tasks that contribute to a livable community are being successfully performed. Importantly, however, the Grantee must not seek to complete these duties on its own, but to ensure that the management system and the various stakeholders that comprise it are

functioning properly, and that any gaps are addressed immediately. Doing so will, at a minimum, involve completing the following tasks:

- Ensure that the tasks in the matrix below are being completed and that all actors know their roles and responsibilities.
- Set-up and oversee the operation of a “Community Time Bank,” which will allow pre-identified vulnerable households to perform community work as a means of reducing their rental payments. A particular area of focus will likely be the management of solid waste, which will be a critical issue in the new settlement. See the table below for the various tasks that will be the responsibility of the “Time Bank”. [Note: The concept of a Time Bank is being used on other projects, such as the GOH’s Zoranje 400/100 housing site. The Grantee shall seek to gain lessons on these other programs to help better plan for implementation at Caracol-EKAM).
- Set-up and oversee the operation of a “small grants fund” that shall be managed in conjunction with the CMC and the residents. The Grantee shall work with the community to create a system under which the community collectively chooses projects that will be implemented with these funds. Any dispersal of funds must be cleared by the USAID AOR before being completed. Prior to the release of funds, the Grantee shall work with EPPLS and USAID to define a set of rules that lay out the terms and conditions of the fund’s use, based on the initial assessments of the community’s and individual households’ needs. In addition to helping address any unforeseen issues that arise during the project, the goal of the fund will be to foster a sense of solidarity within the community, and to provide them with experience in collective decision-making.
- Fully staff and manage an on-site office, which will provide the Grantee with a continuous presence on the site and help it answer questions, troubleshoot problems and promote the smooth functioning of the community.
- Conduct ongoing community outreach and engagement with the help of community mobilization staff; track community dynamics on and around the site and proactively identify potential opportunities/challenges.

Responsibilities for Site Management Tasks (for first 24 months of site operation)

	EPPLS (with support from Grantee)	Local municipality	DINEPA	EDH	Community Mgmt. Comm./ “Time Bank” (with support from Grantee)	Individual Households (with training and sensitization from Grantee)
Rent Collection	X					
Enforcement of Rental Contract (including evictions)	X					
Minor home repairs						X
Solid waste collection		X			X	
Upkeep and maintenance of communal areas	X				X	
Emptying of Septic Tanks	X					X
Major & Minor Water infrastructure repair			X		X	

Major & Minor Electricity infrastructure repair				X		
Upkeep of footpaths / tertiary roads					X	
Road repair		X				
Security					X	
Landscaping	X				X	
Drainage canals maintenance	X				X	

5) Social and Economic Support at the Community- and Household-level

As noted above, the goal of the Caracol-EKAM project is to help facilitate the creation of a new community, not merely construct homes. The social and economic support to be provided to the residents is an important part of this equation. USAID envisions the following tasks to ensure that the new community has the tools it needs to thrive:

- Conduct baseline survey of socioeconomic and demographic composition of the new settlement's residents (and surrounding area, if appropriate)
- Create a beneficiary registry and case management system for all residents interested in, and eligible for, social and economic support
- Plan and launch a livelihoods program, based on needs and skills of the community, and the economic opportunities in the surrounding area. To promote integration with the neighboring community, USAID envisions this program also being extended to approximately 50 households living near Caracol-EAKM
- Plan interventions or additional social services based on the outcomes of the baseline survey. Activities that could benefit the surrounding communities, as well as Caracol-EKAM, should be explored
- Liaise with USAID partners and existing financial institutions in the area to promote microfinance opportunities for site residents. Both business-oriented and home expansion microfinance products are envisioned. Proposals for doing so shall be laid out in the SECOND work plan, after a thorough inventory of activities planned by USAID partners and others has been completed has been completed by the Grantee.
- Assist the CMC to actively support the community and local officials to identify other donors, NGOs, private businesses and GOH entities that may be able to provide additional social, cultural and economic opportunities in and around Caracol-EKAM.

MONITORING AND EVALUATION (M&E) PLAN

The recipient must maintain an overall Monitoring and Evaluation (M&E) Plan which will serve as a tool to plan and manage the process of monitoring, evaluating, and reporting the program's progress. Appropriate gender-sensitive methodologies must be used. The M&E Plan should include a plan and schedule to establish a baseline for the indicators, and a process for setting performance targets and monitoring for performance and impacts, including the following:

- Performance targets, with appropriate benchmarks and milestones of progress.
- The performance indicators that will measure progress toward achieving the desired results.
- A plan and schedule to establish a baseline for the indicators.

- The schedule for data collection, including the actual time period the data covers, and when data will be collected.
- The source of the data and the methods for data collection and analysis.
- Disaggregation of all people-level performance indicators by gender.
- Documentation of known data limitations of each performance indicator by explaining any data quality limitations and what steps will be taken to address them.
- Description of the data quality assessment procedures that will be used to verify and validate the measured values of actual performance of all the performance information.
- The estimated costs of collecting, analyzing, and reporting performance data in the budget.
- A calendar of performance management tasks (e.g., reviewing performance reports, conducting site visits, updating and revising the performance management plan as may be necessary, etc.) that must be conducted over the expected duration of the program, with approximate timeline for the completion of each task, recognizing there will be modifications necessary based on the sub-award portfolio.
- An Evaluation Plan that identifies planned evaluations, which should include possible evaluation questions, ideas for evaluation design, and methodologies to be used.

CROSS-CUTTING ISSUES

- Gender
Program activities should identify and take into account the gender dimensions related to this type of programming, especially in terms of equitable participation of men and women. The program must integrate gender considerations into all activities. The Grantee must present a gender analysis which discusses important gender issues relevant to the formation and strengthening of new communities, and must explain how gender considerations have been integrated into the program design, and will be integrated into the implementation, management, and monitoring and evaluation of the overall program and each specific activity, as appropriate. The gender analysis must demonstrate how the proposed program will contribute to gender equality, and should clearly show how the program will develop knowledge, recommendations, tools, and strategies that recognize and account for the needs and multi-dimensional roles of both women and men in developing of the new community at Caracol-EKAM. The analysis should include a discussion of the potential impacts that the new intervention and methodology can have on the well-being of women and children.
- Sustainability
Ensuring social, environmental and economic sustainability is central goal of this program, and must be prioritized as such by the Grantee. The guiding principles listed above are designed to highlight this fact, and should be taken into account during the design, implementation and monitoring and evaluation of each and every program activity. In particular, each program activity must focus on reinforcing the long-term social, financial and environmental sustainability of the community, providing the residents with the information, skills, resources and institutional structures they will need to help their community thrive over the medium- and long-term. The program must also work with and through existing local and national government structures to the greatest extent possible, prioritizing long-term sustainability over short-term deliverables. The program must strive to integrate the site into the surrounding neighborhood fabric, and to pursue activities that will benefit the entire community, as opposed to only the Caracol-EKAM residents. Finally, the community --- and the program --- must be approached holistically, with recognition that a thriving community is about more than just

homes and infrastructure, but also involves social, economic, environmental, institutional and cultural factors.

ESTIMATED PROJECT TIMELINE

Activity/Task/Deliverable	Expected Start and End Dates
Program Kick-off & Mobilization	Project launch – Month 1
FIRST Work Plan developed, including detailed plans for beneficiary vetting, move-in, and short-term support to EPPLS and CMC.	Project launch –Month 1
On-site office space opened	Project launch - Month 1
Beneficiary Sensitization and Vetting	Project launch – Month 2
Orientation Sessions, pre move-in counseling	Project launch - Month 4
Phased move-in of residents	Month 2 - Month 4
Socioeconomic Baseline Study conducted; case management files established for each household	Month 2 – Month 4
SECOND Work Plan presented to USAID, including medium-term project issues, including plans for ongoing support to EPPLS and the CMC, social and economic support activities, community governance systems/structures that will be developed and strengthened.	Month 3 – 5
Establishment of full CMC	Month 4 – Month 5
Community “Time Bank” designed and launched	Month 3 – Month 4
Economic and Social Services Support component launched	Month 3 – Month 5
Ongoing Site Management	Month 3 – Month 18
THIRD Work Plan presented to USAID, including identification of challenges and proposed solution for all aspects of the project, plus detailed plans for promoting sustainability and achieving a smooth phase-out of the Grantee’s presence on the site	Month 6
Begin progressive phase-out of the project, turning over all day-to-day operations to community and	Month 18 – Month 24

government stakeholders	
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REPORTING REQUIREMENTS

The Grantee shall submit one (1) hardcopy of the following reports to USAID, as well as one (1) electronic copy. Reports shall be in English and provided to the AOR and the Agreement Officer.

Monthly Progress Reports

The Grantee shall submit Monthly Progress Reports to the AOR and Agreement Officer not later than the tenth working day following the end of the month. The reports shall, as a minimum requirement, include the following:

- 1) An executive summary of current activities. The summary shall include the status of: progress made under each of the five “work objectives” (see Section C.2.3); achievement or delays in key milestones (see Section F.1); variation orders, important decisions, approvals issued, major meetings, and other significant activities pertinent to the project.
- 2) Presentation of problem areas, current or foreseen, together with recommendations for resolving these problems and attendant schedules for their resolution. Problems requiring USAID intervention shall be highlighted.
- 3) Anticipated activities for the following month.
- 4) Presentation of progress accomplished versus progress scheduled in chart form. When appropriate, a discussion is to be included for any significant potential or actual slippage in schedule and the steps being taken to avoid or make recovery.
- 5) The reports shall be supported, as required, by statistical tables, charts, financial information, selected photographs, or other information that will contribute to a concise, yet comprehensive report.

Final Report

The Grantee shall provide a concise final report within one month of the completion of the agreement.

Accrual Reports

The Grantee shall submit a quarterly estimated accrual report to the AOR including the following:

- 1) Total amount obligated
- 2) Total amount invoiced
- 3) Total amount expended but not yet invoiced
- 4) Remaining unexpended funds.

The Grantee shall submit these reports to the officer identified in the agreement in accordance with the reporting schedule.

Work Plans

Start-up Work Plan: Within 15 days after award, the Award Recipient will submit a Start-up Work Plan for approval by the USAID Agreement Officer's Representative (AOR). This plan should describe preparations for priority program activities and provide a schedule for mobilizing and staffing the project during the first three months after award.

Subsequent work plans shall follow the schedule detailed in the Estimated Project Timeline, and shall include detailed budget estimates for the given time period. All Work Plans will identify the activities to be carried out and the results to be achieved for the designated time period and the associated level of effort to be used for that work. It will also describe how the project will collaborate with other USG-funded projects in-country as well as with other donors and in-country partners.

Performance Monitoring and Evaluation Plan

Within 60 days after award, the Award Recipient will submit to the USAID AOR a performance monitoring and evaluation plan covering the life of the project, including specific, detailed plans to document, monitor and evaluate program performance. The plan will:

- establish specific, quantifiable performance indicators (outputs, outcomes, and impact) and targets for the overall objectives included in the original proposal and activities in annual work plans;
- describe the establishment of monitoring systems to measure project progress against overall objectives; and
- present a plan for data collection and measurement of overall project outcomes and results, including collection of baseline data, and for the use of data collected by the project to improve program planning and performance.

Key Personnel:

The following Key Personnel are considered critical to the implementation of this project. All Key Personnel shall contribute 100% Level of Effort to this project. Key Personnel shall not be changed without the written consent of the Agreement Officer:

Program Manager

The Program Manager will be responsible for the overall coordination of all activities under the program, including completion of the five work objectives and all associated tasks, reporting, and financial oversight.

Minimum Qualifications:

- At least 8 years working in the international development field
- At least 3 years working on community development or similar programs in developing countries
- At least 2 years working on development programs funded by major bilateral or multilateral donors (USAID, the World Bank, the Inter-American Development Bank, the Asian Development Bank and other major donors)

- At least 6 months working in Haiti and/or similar developing country contexts
- BA/BS or equivalent required; Masters or equivalent degree in international development, project management, anthropology, urban planning, etc. preferred
- Fluent in English; intermediate level of Kreyol and/or French

Community Engagement Manager / Deputy Program Manager

The Community Engagement Manager / Deputy Program Manager will be responsible for overseeing day-to-day implementation of activities in the community, and will also serve as the Program Manager's Deputy, backstopping him/her whenever necessary.

Minimum qualifications:

- At least 5 years of proven *on-the-ground* experience managing development projects in Haiti and/or similar developing country contexts; experience in the Nord or Nord Est communes of Haiti preferred
- At least 3 years of proven experience working directly with beneficiary communities in Haiti and/or similar developing country contexts
- Experience working on housing, neighborhood reconstruction/renewal, community planning, livelihoods, training/sensitization, camp management, or related fields strongly preferred
- BA/BS or equivalent university degree required; Masters or other advanced degree preferred
- Fluent in Kreyol; intermediate or higher level of English strongly preferred
- Familiarity with USAID and/or other major donor-funded projects strongly preferred

Financial / Office Administration Manager

The Financial / Office Administration Manager will be responsible for implementing all required accounting and office management systems, to ensure that the program is in compliance with any and all USAID requirements, as well as any applicable local laws or regulations.

Minimum qualifications:

- At least 5 years of experience managing financial operations
- At least 3 years of experience working in financial and/or office administration in Haiti and/or similar developing country contexts
- BA/BS or equivalent university degree required
- Fluent in French and Kreyol; intermediate or higher level of English strongly preferred
- Familiarity with USAID or other major donor-funded projects strongly preferred

Community Mobilization Team Leader

The Community Mobilization Team Leader will oversee a team of community mobilizers in their day-to-day interaction with the community.

Minimum qualifications:

- At least 5 years of experience managing community mobilization/sensitization/outreach programs in Haiti and/or similar developing country contexts; experience in the Nord or Nord Est communes of Haiti preferred

- Fluent in French and/or Kreyol; intermediate or higher level of English preferred
- Familiarity with USAID or other major donor-funded projects preferred

2) AUTHORIZING LEGISLATION

The authority for this RFA is found in the Foreign Assistance Act of 1961 and the resulting award(s) will be administered in accordance with OMB Circulars, 22 CFR 226, and USAID's Automated Directives Systems (ADS) Chapter 303, "Grants and Cooperative Agreements with Non-Governmental Organizations" as applicable. These policies and regulations can be viewed or downloaded from USAID's Web Site <http://www.usaid.gov/business/regulations/>.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to this program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the cooperative agreement. **USAID reserves the right to fund any or none of the applications submitted.**

3) ENVIRONMENTAL REVIEW

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. [Offeror/recipient] environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this [RFP/RFA/contract/grant/cooperative agreement].

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

As part of its initial Work Plan and all Annual Work Plans thereafter, the [Recipient], in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this [Grant/CA] 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 ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

In addition, the contractor/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.

[END OF SECTION I]

SECTION II – BASIC AWARD INFORMATION

- 1) **ESTIMATED FUNDING:** Subject to the availability of funds, USAID intends to provide approximately **\$1,300,000 to \$1,500,000 for one award** to implement the Community Development Program for Caracol-EKAM Housing Project. USAID may award with or without negotiations/discussions to one or more responsible applicant(s) whose application presents the best value to the government, cost and other factors considered. **USAID reserves the right to fund any or none of the applications submitted.**
- 2) **PERFORMANCE PERIOD:** The performance period is twenty (24) months from the date of award.
- 3) **AWARD TYPE:** USAID anticipates the award will be a **Cooperative Agreement. Substantial Involvement** under the award is expected to be as follows:
 - Approval of the Recipient's Annual Work Plans.
 - Approval of Specified Key Personnel.
 - Agency and Recipient Collaboration or Joint Participation.
 - Approval of sub-grant agreements.
- 4) **AUTHORIZED GEOGRAPHIC CODE:** The Authorized **Geographic Code is 937** for the procurement of goods and services.
- 5) **BRANDING STRATEGY AND MARKING PLAN:** The successful applicant(s) will be required to submit a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer. A Branding Implementation Strategy and Marking Plan shall be in accordance with USAID Branding and Marking plan as required per ADS 320. Refer to ADS 320, (<http://www.usaid.gov/policy/ads/300/>) specifically 320.3.3.3 for more information. The Recipient shall comply with the requirements of the USAID “Graphic Standards Manual” available at www.usaid.gov/branding/, or any successor branding policy.

[END OF SECTION II]

SECTION III – ELIGIBILITY INFORMATION

- 1) USAID policy encourages competition in the award of grants and cooperative agreements. In response to this RFA, any U.S. or non-U.S. organization, non-profit, or for-profit entity is eligible to apply for all or sections of the RFA. **All applicants shall be required to be registered to legally operate in Haiti within 30 days after award.**
- 2) USAID encourages applications from potential new partners.

[END OF SECTION III]

SECTION IV – APPLICATION SUBMISSION INFORMATION

1) SUBMISSION AND PREPARATION GUIDELINES

ELECTRONIC SUBMISSION OF APPLICATIONS IS REQUIRED; paper copies shall not be accepted. Receipt by the e-mail addresses and before the deadline indicated below shall constitute timely receipt of the application. RECEIPT TIME IS WHEN THE APPLICATION IS RECEIVED BY THE USAID/HAITI INTERNET SERVER.

Submit as follows:

Electronically to all the following e-mail addresses:	oaahaiti@usaid.gov ; gcasimir@usaid.gov ;
Questions Due	April 30, 2013 at 12 (noon), Port au Prince, Haiti local time
Final Applications - No later than the deadline of:	May 14, 2013 at 12 noon, Port-au-Prince, Haiti local time

Applications which are submitted late or do not follow the instructions contained shall not be considered in the review process.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format.

Technical and Cost Applications must be submitted in separate files and e-mail messages.

Applications must conform to the guidelines of this section and include the Representations and Certifications provided in this **Section IV**. In the event of deficiencies in the Representations and Certifications submitted with the Application, they must be completed before final award is made.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will only consider applications conforming to the format prescribed below.

TECHNICAL APPLICATION FORMAT

Technical Applications must be submitted electronically in unprotected MS Word and .pdf (Adobe Acrobat) versions. USAID shall only accept applications submitted in English.

In case of any conflicts between the MS Word, pdf and other language versions of the application, **the English .pdf version will govern** and will be the only version presented to the Technical Evaluation Committee for review.

FORMAT AND PAGE LIMITATIONS

Technical Applications must be typed on standard letter-sized paper (8.5 X 11 inches), 1 inch margins, using a font size of 12 pt. EXCEPT within tables where the font may be smaller, but MUST be legible.

TECHNICAL APPLICATIONS ARE LIMITED TO FIFTEEN (15) PAGES MAXIMUM.

ANNEXES TO TECHNICAL APPLICATIONS ARE LIMITED TO A TOTAL OF THIRTY (30) PAGES MAXIMUM.

ANY PAGES SUBMITTED IN EXCESS OF THE PRESCRIBED PAGE LIMITS INDICATED BELOW WILL NOT BE CONSIDERED FOR EVALUATION!

Technical Application introductory pages shall include the following, and shall not be considered part of the Technical Application page limit:

Page 1: COVER PAGE, indicating the Proposal Title and the name of the applicant organization, name of the organization's authorized legal representative, mailing and e-mail addresses, telephone and fax-numbers.

Pages 2-3: TABLES OF CONTENTS and TABLE OF ACRONYMS

Page 4: EXECUTIVE SUMMARY of objectives, results, technical and management approach

Remaining Technical Application pages must be structured as follows:

A. Technical Approach

Technical applications must clearly and concisely describe how the stated goal and objectives of the Program will be met and how expected results will be achieved. Applications will describe the function, role and capabilities of each subcontractor/sub-awardee, partner (if any), included in the proposal as related to achieving the desired results.

A draft Initial Work Plan in accordance with the Estimated Project Timeline shall be presented in **Annex I** to outline the applicant's program implementation strategy.

B. Planning Monitoring and Reporting

Applicants shall describe how they will be responsible for all planning, monitoring and reporting requirements described in the Program Description. A draft Performance Monitoring and Evaluation Plan must be submitted as **Annex II** (see below).

C. Project Management and Staffing Plan

Applications must describe a detailed management approach for implementing the proposed program, including specifying the composition and organizational structure of the entire implementation team (i.e. home and field offices), and describe each team member's role. Resumes for significant staff which an applicant wants to highlight *other than* Key Personnel may be included in **Annex III** (see below).

Applications must also address how relationships with affiliated partners, if any, will be managed and describe plans for capacity building of any local, nascent and/or small business organizations.

D. Key Personnel

Technical Applications shall provide position descriptions for Key Personnel and explain how proposed candidates meet the minimum qualifications for each position. Resumes and commitment letters of proposed Key Personnel must be included in **Annex III** (see below).

E. Organizational Capability

Technical Applications must include a description of the applicant's mission, history, current activities, organizational structure and resources that support its capacity to achieve the objectives of the program. Similar information should be provided for proposed partner organizations. Applicants should demonstrate an understanding of the economic, political and social context of Haiti and an ability to work under the often extreme conditions found in-country.

F. Past Performance

Applicants shall describe their performance under U.S. Government or other international donor funded activities over the past five years and experience managing programs similar to what is described in this RFA. This information should be provided for each organizational partner proposed, if any. Reference data and contact information shall be included in **Annex IV** (see below).

ANNEX I - WORKPLAN

The applicant shall submit the following:

Initial Work Plan: The applicant shall include the FIRST Work Plan in accordance with the Estimated Project Timeline that, includes detailed plans for beneficiary vetting, move-in, and short-term support to EPPLS and CMC.

ANNEX II – PERFORMANCE MONITORING AND EVALUATION PLAN

The applicant shall provide the following:

Draft Performance Monitoring and Evaluation Plan: The applicant will submit a draft performance monitoring and evaluation plan covering the life of the project, including specific, detailed plans to document, monitor and evaluate program performance. The plan will:

- establish specific, quantifiable performance indicators (outputs, outcomes, and impact) and targets for the overall objectives included in the original proposal and activities in annual work plans;
- describe the establishment of monitoring systems to measure project progress against overall objectives; and
- present a plan for data collection and measurement of overall project outcomes and results, including collection of baseline data, and for the use of data collected by the project to improve program planning and performance.

ANNEX III – KEY PERSONNEL AND OTHER STAFF

The applicant shall provide CVs, bio-data sheets and letters of commitment for all Key Personnel detailed in the Program description. The applicant may also include the CVs of other personnel positions they feel are essential to project implementation.

ANNEX IV - PAST PERFORMANCE REFERENCES AND INFORMATION

Applicants shall submit information for the Agreement Officer to make a responsibility determination of the applicant organization. Applicants must therefore provide performance reports, including a brief description of accomplishments under each award, from the three most recently completed contracts, cooperative agreements or grants funded by USAID or other international or private donors. Provide the name, current e-mail address and telephone number of contact persons for each award listed who USAID may contact at its discretion.

COST APPLICATION FORMAT

The Cost Application shall consist of:

- the **SF-424**, Application for Federal Assistance; **SF-424A**, Budget Information – Non-Construction Program; and **SF-424B**, Assurances – Non-Construction Programs. These forms may be downloaded from the following website: http://www.grants.gov/agencies/aapproved_standard_forms.jsp;
- a summary budget;
- a detailed/itemized budget;
- a budget narrative explaining costs to be incurred as described more fully below;
- and other administrative documentation as required.

Please be sure that the budget includes at least the following elements:

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program, in the same detail and format as the budget template. Describe sub-award arrangements to the extent they are known at the time of application development.

NOTE: If sub-awards are anticipated and not explained in the original application, the agreement officer's approval (after award) may be required before the sub-agreement may be executed.

- A copy of the organization's U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA), if applicable.

NOTE: The award will not provide for the reimbursement of pre-award costs.

2) REQUIRED REPRESENTATIONS AND CERTIFICATIONS (ADS 303.3.8)

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

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

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

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

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

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

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

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

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

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial

assistance is sought, or the beneficiaries of, or participants in, such programs.

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making

or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 2006)

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf> , or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

3. For purposes of this Certification -

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

b. "Terrorist act" means-

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

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

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

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

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

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

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

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2)

the Certification Regarding Lobbying, and (3) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART IV- SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

Survey on Ensuring Equal Opportunity for Applicants

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.

(7) Number of people employed by the recipient.

(8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm> . If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com .

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is

located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY UNIT COST	ESTIMATED COMPONENTS	GOODS SOURCE	PROBABLE GOODS COMPONENTS	PROBABLE ORIGIN
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(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION (Generic)	QUANTITY UNIT COST	ESTIMATED SOURCE	PROBABLE ORIGIN	INTENDED USE
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY UNIT COST	ESTIMATED (Non-US Only)	PROBABLE SLUPPIER for NON-US	NATIONALITY	RATIONALE
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(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
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6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

The technical applications will be reviewed by a Technical Evaluation Committee (TEC) and costs will be reviewed by the Office of Acquisition and Assistance (OAA) at USAID/Haiti. Following the review of the applications, a correspondence will be sent to all applicants describing the outcome of the review. USAID reserves the right to determine the final funding level of the resultant award(s). For this Application Review the Technical Evaluation will be considered significantly more important than the Cost Evaluation.

1) TECHNICAL EVALUATION

USAID will evaluate proposed approaches for the factors below based on their soundness, realism, appropriateness, efficiency, efficacy, and comprehensiveness in addressing the factors and sub factors below.

1. Program Strategy and Implementation Plan (35 points)

The applicant provides evidence of a well-developed, coherent, and comprehensive strategy for the applicant's program.

- (a) Degree to which the proposed program demonstrates an understanding of the constraints and strategic priorities outlined in the Program Description section of the RFA. (15 points)
- (b) Extent to which program presents a clear, practical, effective, and comprehensive proposed Performance Management Plan, including monitoring, evaluation, and work plans. (10 points)
- (c) Degree to which the program demonstrates an awareness of lessons-learned in similar projects, as well as an ability to incorporate this information into its own planning and implementation. (10 points)

2. Organizational Capacity (40 points)

Applicants will be evaluated on the evidence presented of a sound management and implementation system that draws on appropriate institutional capacities and partnerships.

- a) Extent to which Applicant proposes key personnel with appropriate experience and leadership ability (15 Points).
- b) Extent to which the Applicant presents a staff and management structure with capacity to manage and organize program resources and successfully complete work objectives. (10 points)
- c) Extent to which Applicant demonstrates ability to develop relationships with intended beneficiary communities and potential partners, both public and private, and the further ability to assist in capacity-building of local populations, particularly in Haiti. (15 points)

3. Past Performance (25 points):

- a) Evidence of past compliance with terms and conditions of awards with USAID, and other donors and successful partnership management. (10 points)
- b) Evidence of past performance effectively and efficiently working in Haiti, or in countries with a similar development context on projects involving community development, camp

management, housing, livelihoods, local governance or related programming. Proven capacity to work in difficult contexts, and successfully balance the interests of the community and all relevant stakeholders, including public and private actors and the local, regional and national levels. (15 points)

2) COST EVALUATION

Overall costs are less important than the Technical Evaluation Criteria; however the TEC shall evaluate the cost effectiveness and cost realism of the applications considered potentially eligible for award.

Applications selected by the TEC for additional consideration will undergo cost analysis in accordance with ADS 303.3.12 by the Office of Acquisition and Assistance. Cost analysis will involve ensuring costs are in compliance with Office of Management and Budget and USAID policies. Applicants must justify in advance the proposed costs for each element of the program.

If the recipient expects to earn program income during the award period, the schedule of the award must specifically state how the income will be applied. (The definition of program income is located in 22 CFR 226.2 and income application suggestions can be found in 22 CFR 226.24 see <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=df1c454a12de425f42b5824d5200ffeb&rqn=div8&view=text&node=22:1.0.2.22.25.3.54.5&idno=22>.)

Based on the cost breakdowns provided by applicants as part of the Cost application, the Agreement Officer verifies cost data, evaluates specific elements of costs, and, analyzes data to determine the necessity, reasonableness, and allowability of the costs reflected in the budget, and the allowability of the costs under the applicable cost principles.

The Agreement Officer shall perform cost analysis to determine:

1. The extent of the prospective recipient's understanding of the financial aspects of the program and the recipient's ability to perform the grant activities within the amount requested;
2. Whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and
3. Any special conditions relating to costs that are in the award.

As part of the analysis of the applicant's proposed budget, the AO must review the applicant's **proposed cost sharing**, if applicable, contributions for cost realism. The AO must verify that the proposed contributions meet the standards set in 22 CFR 226.23 for U.S. organizations or the Standard Provision "Cost Sharing" for non-U.S. organizations.

The AO may ask M/OAA/Contract Audit and Support Division (CAS) to help determine whether a prospective recipient's proposal is fair and reasonable for the program proposed, and provide an evaluation of whether the proposal is consistent with the Agency's cost accounting policies, procedures, and practices. This includes ensuring that the recipient's indirect cost rates are consistent with any Negotiated Indirect Cost Rate Agreements.

[END OF SECTION V]

SECTION VI – AWARD ADMINISTRATION INFORMATION

- 1) Following selection for award, a successful applicant will receive an electronic copy of the notice of award signed by the Agreement Officer which serves as the authorizing document. USAID will issue the award to the contacts specified by the applicant in its application documents and/or the Authorized Individuals submitted by the applicant in accordance with **Section IV, Sub-Section 2, Required Representations and Certifications, Part VI, Other Statements of Recipient.**
- 2) The applicable Standard Provisions that will apply in any resulting award document can be viewed or downloaded from USAID's Web Site <http://www.usaid.gov/policy/ads/300/303.pdf>.
- 3) The programmatic **REPORTING REQUIREMENTS** indicated in **Section I** above shall be made part of any award issued under this RFA

[END SECTION VI]

SECTION VII – AGENCY CONTACTS

Any questions concerning this RFA should be submitted in writing via e-mail oaahaiti@usaid.gov, and Mr. Gerard Casimir, A & A Specialist, at gcasimir@usaid.gov.

[END SECTION VII]