



USAID | EL SALVADOR

FROM THE AMERICAN PEOPLE

Issue Date: May 3, 2016
Deadline for Question: May 16, 2016
Clarifications Expected Date: May 25, 2016
Closing Date: June 28, 2016
Closing Time: 4:00 pm El Salvador Time

Subject: Notice of Funding Opportunity (NFO) Number: APS-519-16-000002

Program Title: Democracy and Governance Annual Program Statement (APS) 2016

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications that may result in multiple awards such as cooperative agreements or grants from qualified U.S. and Non-U.S. organizations to fund a program entitled "Democracy and Governance Programmatic areas". There are three programmatic areas, and eligibility for these awards is restricted to local Salvadoran organizations only for Programmatic area 3; see Section C of this 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 up to six awards are 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 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 G, page 27. 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,

Natalie J. Thunberg
Agreement Officer

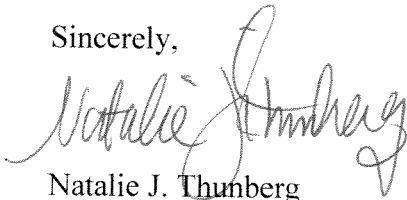
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Thank you for your interest in USAID programs.

Sincerely,

A handwritten signature in dark ink, appearing to read 'Natalie J. Thunberg', written in a cursive style.

Natalie J. Thunberg
Agreement Officer

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SECTION A: PROGRAM DESCRIPTION

The U.S. Agency for International Development (USAID) in El Salvador hereby solicits innovative ideas from U.S. and non-U.S. organizations who demonstrate the ability to implement approaches in the following Programmatic areas described below:

Programmatic area 1: Human Rights

Background:

Despite important achievements, protection and promotion of human rights in El Salvador is a work in progress and substantial challenges remain. The US Department of State 2014 Human Rights Report for El Salvador highlights that more could be done to strengthen human rights systems, protect the rights of vulnerable populations and promote democratic space for human rights defenders and civil society stakeholders. In addition, shortcomings in institutional capacity, professional expertise and skills, combined with lack of appropriate resources and tools, continue to impede the independence, accountability, and efficiency of the institutions, actors, and processes that comprise national human rights protection systems in El Salvador.

Objective:

USAID seeks to strengthen the effectiveness of the human rights protection environment in El Salvador by increasing civil society engagement to help inform policies and strategies and raise awareness of human rights violations among citizens and Government, and improving the capacity of institutions responsible for human rights protection and promotion, particularly the human rights Ombudsman Office, the Attorney General's Office, the Public Defender's Offices and the Courts. It is expected that the work of civil society and actions taken by government institutions will help strengthen the national human rights protection systems, contribute to creating cultures of tolerance, and promote greater awareness and understanding of human rights.

Engagement Priorities:

USAID seeks innovative applications that provide a comprehensive approach that address one or more of the human rights areas outlined below including: 1) Strengthening Human Rights Advocacy and Monitoring on Security and Policing; 2) Promoting Open Democratic Space; 3) Preventing Discrimination and Exclusion. The proposed approach should demonstrate how human rights violations will be prevented, what type of responsive actions to address these violations will be taken, and what types of systems will be set to provide protection and reparation for victims of these human rights violations. The proposal should demonstrate partnerships with local civil society groups.

- **Strengthening Human Rights Advocacy and Monitoring on Security and Policing:** Human rights defenders and others point to human rights violations within the prison system, arbitrary detention and abuse of pretrial detention. Overcrowding, mix of pre-trial detainees and convicted inmates, lack of basic services and violations of international standards are reported challenges. Applicants should demonstrate approaches that

promote strong human rights advocacy and monitoring needed to address the prevalent challenges related to security and policing of prison conditions.

- **Promoting Open Democratic Space:** Space for human rights defenders and civil society organizations to voice their concerns and engage in human rights advocacy is critical to promoting open democratic space and freedom of expression. Human rights reports indicate that intimidation of human rights defenders and independent transparency advocates is a challenge that needs to be addressed. Applications should outline a proposal that will promote life, liberty, physical integrity and freedom of expression in the El Salvador context.
- **Preventing Discrimination and Exclusion:** Despite Constitutional precepts, adoption of human rights treaties and secondary laws that prohibit discrimination; in addition to the establishment of administrative offices and units to promote inclusion and respect for the rights of vulnerable populations, discrimination and exclusion persist in El Salvador. There is poor data and tracking on these cases of violence, many of which go unreported or unresolved. The LGBTI population has called for increased action, and strong policy for the protection of LGBTI rights. Persons with disabilities especially in urban and rural areas have also fallen victim to discrimination and are subject to many forms of violence. These vulnerable groups lack effective access to justice to assert their rights and to seek remedies when they are violated. Applications should outline a comprehensive approach that addresses discrimination, promotes advocacy for the rights of these vulnerable groups including policy change and implementation, empowerment, and improved access to justice and services. Illustrative activities should demonstrate approaches to addressing violence against women, the disabled and LGBTI, including approaches that build awareness of boys and men on their role in respecting human rights.

Programmatic area 2: Juvenile Justice

Background

El Salvador's youth – particularly those who are socially and economically marginalized – play a central role in the nation's violence, yet conversely have the potential to transform their environment for the better. More than 25 percent of Salvadorans are below the age of 14 and 2.4 million are under the age of 18, which the Salvadoran legal system defines a minor. Based on broad-stroke demographics, one million young people exhibit several risk factors of becoming involved in criminal and/or gang activity.

Although El Salvador maintains a comparatively sound juvenile justice legal framework, in practice, the system needs organization, technical skills, and resources to adequately manage and monitor alternative sentencing for youth offenders. Since mass incarceration has become the response to crime and the system provides few alternative sentencing options, the prison system for adults and minors is at more than 300% capacity for men and 900% capacity for women. Many youth in conflict with the law (ages 12-17 according to Salvadorian law) or minor offenders who would not otherwise encounter gangs do so in crowded, harsh prison

environments. While incarcerated, hardened criminals lure young minor offenders into gangs and other criminal networks.

Engagement Priorities:

This NFO is seeking innovative ideas and effective strategies to provide institutional strengthening and technical assistance to improve the Government of El Salvador's processes to reintegrate youth in conflict with the law at the national level. This would include providing technical assistance to ISNA, Juvenile Courts, and the Office of Juvenile Justice of the Supreme Court to strengthen alternative sentencing processes and introduce new strategies of treatment and rehabilitation of juvenile offenders. Likewise, ISNA, the National Council for Children and Adolescents (CONNA), which establishes the National Policy on the Protection of Children and Adolescents, the Ministry of Security and Justice should be engaged either formally or informally in this Activity. Strengthening these institutions will improve their capacity to provide comprehensive support in source areas.

A second area of interest is to connect the interests of the private sector to the rehabilitation services of local civil society and faith-based organizations to better reintegrate youth in conflict with the law from high crime municipalities. Working with this demographic is strategic: specific businesses and institutions of the Government of El Salvador are receptive to the idea of working with juvenile offenders.

The APS will solicit applications that offer best practices and comparative methodologies to promote rehabilitation and prevent recidivism of youth offenders that can be successfully adapted to the Salvadoran context. Many of these diversion programs have shown the cost-effectiveness of rehabilitation versus years of incarceration. USAID will consider applications based on the following priority areas and illustrative activities:

- **Institutional Technical Support of institutions in charge of alternative sentencing for youth offenders (ages 12-17)** Illustrative activities may include: (a) case management systems to monitor alternative sentencing implementation and gauge performance; (b) identify and implement methods to encourage youth not to return to crime; (c) develop a pre-trial services unit to establish a bail system for juvenile offenders; (d) management systems to connect ISNA juvenile services with the Parole Judge and ISNA social workers to closely monitor compliance to the terms of sentencing.
- **Mapping of diversion services-** Activities may include: (a) mapping diversion services available among government institutional service providers (i.e. schools), faith-based organizations, private sector and other NGOs; (b) identify institutional weaknesses and provide recommendations to ISNA and Youth Parole Judges on how to manage alternative sentencing and monitoring of rehabilitation
- **Development of a youth detention prevention strategy-** to reduce and/or divert the flow of young offenders into detention systems and instead channel them to diversion programs.
- **Referral systems according to specific needs of youth offenders.** Illustrative activities may include: (1) build a network of community initiatives or projects where youth offenders can serve their alternative sentence. 2) provide small grants to such community

initiatives to increase their capacity to accept and properly supervise a larger number of juvenile offenders serving their sentences.

- **Connect the Private Sector.** Illustrative activities may include: (a) create a formal avenue for private sector companies interested in youth crime prevention to engage in the rehabilitation of juvenile offenders through skills training and livelihood opportunities; (b) provide seed funding matched by private sector contributions to underwrite vocational or other skills trainings that are aligned to long term employment opportunities; in collaboration with similar initiatives implemented by the Government through INSAFORP and with USAID funded projects dedicated to workforce development ; (c) Engage employers and managers to serve as mentors and, business advisors and use their enterprises as venues for work-based learning and internship placement.
- **Pre-Release life and education planning for juvenile offenders to mitigate recidivist tendencies.** Illustrative activities may include: (a) provide juvenile offenders with life-skills training over a period of six to twelve months, depending on their individual needs to mitigate recidivist tendencies; (b) Pair juvenile offenders with a mentor or coach, who assesses and works with the young person to develop individual educational, employability, and livelihood reintegration plans around achievable goals; (c) Provide referral services to external psychosocial services, remedial educational opportunities, faith-based counseling, and private sector opportunities.

Programmatic area 3: Supporting Civil Society Efforts to Strengthen Democratic Governance

NOTE: that this Programmatic area is limited to **Salvadoran (local) Organizations only**. Please refer to Section C for eligibility requirements.

Background:

Civil society in El Salvador has become increasingly active in promoting democratic governance and has effectively advocated for improved systems of checks and balances. Civil Society groups from different ideologies have successfully coalesced around common purposes producing very effective results, including the passage of the Access to information Law, and recent advocacy to ensure that the National Assembly complies with Constitutional court rulings and decisions. Civil society groups have also played an important role in civic education and mobilizing citizens to vote, in particular during the past presidential and municipal elections, there was an impressive increase in the number of voters.

El Salvador has made important strides in strengthening its legal framework governing citizen engagement and oversight; however, much work and advocacy still needs to be mobilized to help grow the demand for effectiveness in all levels of government. While progress has been made, more can be done to support civil society efforts to strengthen democratic governance. Civil society, including Women-led Civil Society Organizations, can play an important role in promoting increased satisfaction with democracy by conducting analysis and generating dialogue, monitoring government performance, joining efforts to prevent abuses that debilitate democratic processes, and pushing for reforms that will strengthen democratic governance. Civil society groups can also advocate for more effective mechanisms to address corruption, and

provide stronger oversight of key institutions, and the rights of citizens to participate in democratic processes.

Engagement priorities:

USAID seeks to support local civil society initiatives with the potential to improve democratic governance in El Salvador. Specifically, USAID looks forward to receiving applications that support civil society-led analysis, dialogue, oversight activities, and/or advocacy efforts in one or more of the following areas:

- **Strengthening civic education and awareness of democratic rights and responsibilities.** There is limited awareness among citizens of their democratic rights, civic and social responsibilities as afforded under El Salvador's post-conflict constitutional framework. Illustrative activities may include awareness raising and education campaigns that are essential to strengthening awareness of inherent rights and responsibilities under the democratic framework; the creative use of media, technology and other distribution platforms may be harnessed to positively impact the necessary awareness raising and civic education related outreach required to expand awareness and practice of political rights of citizens. Applications should demonstrate how citizens including youth, women, and vulnerable groups will be integrated into civic education initiatives.
- **Defending the constitutional system of checks and balances and improving performance of control institutions** through civil society-led analysis and action. Illustrative activities include rigorous and timely analysis of best practices in promoting democracy and systems of checks and balances, analysis on potential threats, and effective broad-based collaboration to implement preventative measures. Illustrative activities may include innovative communications campaigns to generate citizen awareness about the need for changes within control institutions, and targeted advocacy towards strengthening control institutions .

USAID encourages applicants to propose activities that incorporate innovative approaches to achieve desired objectives, including the use of technological tools/applications and innovative partnerships.

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide \$35 million in total USAID funding for awards that may have a length of five years. Actual funding amounts and extent of awards are subject to availability of funds.

USAID intends to award up to six awards, including Cooperative Agreements or Grants pursuant to this notice of funding opportunity. The following is the financial range of awards anticipated under this NFO:

Programmatic areas	Approx. Funding Available	Number of Awards	Cost share	Minimum Grant Size	Maximum Grant Size
1. Human Rights	\$15 million	Up to 2	Encouraged	\$5 million	\$15 million
2. Juvenile Justice	\$10 million	Up to 1	Encouraged	\$8 million	\$10 million
3. Supporting Civil Society Efforts to Strengthen Democratic Governance (local organizations only)	\$10 million	Up to 3	Encouraged	\$500,000	\$10 million

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 may be up to five years. The estimated start date will be upon the signature of the award.

3. Substantial Involvement

If a Cooperative Agreement is awarded, the intended substantial involvement will be as follows:

USAID will be substantially involved in the program and management performance of any awarded Cooperative Agreement through technical collaboration on specified program interventions. Examples of USAID responsibilities are as follows. USAID (including the Agreement Officer's Representative (AOR) for a cooperative agreement provided through USAID) might provide:

- a) Approval of the recipient's implementation plans
- b) Approval of specified key personnel
- c) Agency and Recipient Collaboration or Joint Participation, such as, involvement in selection of advisory committee members; concurrence of substantive provisions of sub-awards; approval

of the recipient's monitoring and evaluation plans; or monitoring specified kinds of directions or redirection because of interrelationships with other projects.

d) Agency authority to immediately halt a construction activity.

If the award is a Grant or Fixed Amount Award, the section above will not apply.

4. Title to Property

Property title under the resultant agreement shall vest with the recipient in accordance with the Requirements of the Standard Provisions and 2 CFR 200.313

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 Democracy and Governance Programmatic areas 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

Programmatic area 3 is limited to local Salvadoran organizations only. This Programmatic area, “Supporting Civil Society Efforts to Strengthen Democratic Governance” is therefore, only Salvadoran (local) entities may apply to this Programmatic area. A local organization is defined below:

USAID defines a local organization as one that:

- Is organized under the laws of the recipient country;
- Has its principal place of business in El Salvador
- Is majority-owned by individuals who are citizens or lawful permanent residents of the recipient country or is managed by the governing body, the majority of whose members are citizens or lawful permanent residents of El Salvador, and
- Is not controlled by a foreign an entity or by an individual or individuals who are not citizens or permanent residents of El Salvador.

The term “control” or controlled by” in the above definition means having a majority ownership or beneficially interest, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization’s managers or a majority of the organization’s governing body by any means, e.g., ownership, contract, or operation of law. The term “Foreign Entity” means an organization that fail to meet any part of the “local organization” definition.

The other two Programmatic areas—1: Human Rights and 2: Juvenile Justice --are open to U.S. and non-US organizations.

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.

Participation Of Faith-Based And Community Organizations

In accordance with [Executive Order 13279, Equal Protection for the Laws for Faith-Based and Community Organizations](#), and [22 CFR 205, Participation by Religious Organizations in USAID Programs](#), are eligible to participate in USAID programs as long as they carry out eligible activities in accordance with all program requirements and other applicable requirements governing the conduct of USAID-funded activities, including those prohibiting the use of direct financial assistance from USAID to engage in inherently religious activities (see [22 CFR 205.1\(f\)](#)).

2. Types of Assistance Instruments

This NFO has the flexibility to award Cooperative Agreements, Grants, and/or Fixed Amount Awards. Contracts are not authorized under this NFO neither profit nor fee.

3. Cost Sharing or Matching

USAID has established a suggested cost share of 10% for the recipient of the award that is voluntary, but not required. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. For guidance on cost sharing in grants and cooperative agreements is in ADS 303 which may be accessed at <https://www.usaid.gov/work-usaid/get-grant-or-contract/grant-and-contract-resources>.

4. Other

More information on how to work with USAID may be found at <https://www.usaid.gov/work-usaid/get-grant-or-contract/trainings-how-work-usaid>. Information is also available in Spanish.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Points of Contact

USAID/El Salvador
Ms. Blanca Ibarra
Ms. Alejandra Quinonez
Acquisition and Assistance Specialists

Emails: bibarra@usaid.gov
 aquinonez@usaid.gov

Phone numbers: 2501-3331
 2501-3408

Questions and Answers: All questions regarding this NFO should be submitted in writing to Ms. Blanca Ibarra and Ms. Alejandra Quinonez to the e-mail address above.

Questions regarding this NFO should be submitted via email no later than the date and time specified on the front page of the NFO in order 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. The Application Process

USAID will follow a two-tier selection process as follows:

- a. Concept papers - due date specified on the cover page of the NFO.
- b. Full application - due date to be specified upon selection of the concept paper.

Both, concept papers and full applications must be submitted by the established date and time indicated in this NFO or any request for full application. If an application is not received in USAID by the specified date and time it may be excluded from further consideration. Upon submission of the concept papers and/or the full applications, Applicants should request acknowledgement of receipt upon submission to the email account provided above.

a. Concept Papers.

Applicants must first submit a concept paper electronically at the following e-mail account: bibarra@usaid.gov and aquinonez@usaid.gov which must not exceed five pages, including cover page and summary budget. The concept paper must be submitted in both formats: Adobe Acrobat & Microsoft Word 2010 format. The e-mail must be identified with the following subject heading: "USAID/El Salvador NFO No. APS-519-16-000002". The objective of the concept paper is to give USAID a clear understanding of the project that is being proposed. It is not intended to provide budget detail, staffing plans, organization background, or similar detailed

information. The concept paper shall be about the project concept itself, concisely describing the purpose of the project, the geographic locations where the activities will be conducted, the timeframe for implementation, the number and description of the people or organization that will benefit, a general statement of the approach and expected results, and outline of expected management arrangements. Please note that the amount of funds requested, including any expected cost share resources, must be stated in a separate page.

a.1. Concept paper format: A sample concept paper template is provided under Attachments 1. Applicants are encouraged to utilize the attached templates when submitting a concept paper to USAID for consideration. Further, all concept papers must clearly state the Programmatic area to which the application relates, as outlined in Section A of the NFO and should be linked to only one Programmatic area under the NFO. Concept papers may be submitted in Spanish or English. The concept paper will be reviewed by a panel of USAID employees who will determine whether the concept has sufficient technical merit to warrant preparation of a full application. Generally, concept papers will be reviewed primarily on technical merit, specifically the degree to which they contribute the achievement of objectives outlined in the NFO. Concept papers will also be reviewed, depending on the Programmatic area addressed, on the basis of whether they include public-private partnership and cost/in-kind contributions. USAID will also review the degree to which they comply with the geographic location, cross-cutting practices, and budget parameters as stated in the NFO. Multiple concept papers may be submitted by an organization.

b. Full Application:

If a Concept Paper is determined to be of interest to USAID, the USAID Agreement Officer will provide specific written requirements and instructions for submitting the full application, including submission of an SF-424, “Application for Federal Assistance”, mandatory certifications, and a pre-award responsibility decision by the Agreement Officer.

3. Technical Application Format for a Full Application

The applications and all supporting material must be submitted in English only. The full application will include a summary of program activities, expected program results, and mechanisms for monitoring and measuring program performance, a project timeline and implementation plan, a description of organizational technical, administrative and financial management capacity, a description of prior related work, letters of commitment among partners presenting alliances type arrangements, and a detailed budget.

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.

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.

The technical application will be the most important factor for consideration in selection for award of the proposed Cooperative Agreement or grant. 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.

The technical application shall include the following sections:

(i) Cover Page

The Cover Page should include the following:

- a. Program title;
 - b. Request for Applications reference number;
 - c. Name of organization (s) applying for the agreement;
 - d. Any partnerships; and
 - e. Contact person, telephone number, fax number, address, and types name(s) and title(s) of person(s) who prepared the application, and corresponding signatures.
- (ii) Table of contents description.

Additional information will be requested as part of the request for a full application (RFA).

4. Cost Application Format for a Full Application

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 may be requested to be submitted by email in Microsoft Excel 2000. The Applicant is requested to submit a budget broken down by program years with an accompanying detailed budget narrative in Word 2010 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 another 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 thereto to be held jointly and severally liable for the acts or omissions of the other.

An extensive cost analysis will be performed for the apparently successful Applicant. The budget information required from the apparently successful Applicant should be in enough detail to determine the proposed cost for the Applicant's program to be allocable, allowable and reasonable. Therefore, 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 or if no NICRA, the Applicant should submit the following

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

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

Cost sharing at 10% (see ADS **303.3.10**) is suggested (that is, voluntary) but not required.

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

1. Required assurances, certifications and representations
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 Regulation 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

The apparent successful applicant must submit, after notification of intent to make a Federal award, but prior to a Federal award, a branding strategy and marking plan.

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. Applicants should not submit the information below with their applications! 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.
2. 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.

5. Unique Entity Identifier and System for Award Management

USAID may not award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

6. 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.

7. 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.

8. Additional Considerations/Cross Cutting Practices

Environmental Procedures

All potential partnerships are subject to an initial environmental examination before final approval. Further information may be found at 22 CFR 216.

Branding and Marking

It is a Federal statutory and regulatory requirement that all overseas program, projects, activities, public communications, and commodities that USAID partially or fully fund under an assistance award or sub-award must be appropriately marked with USAID identify. Under 2 CFR 700.348 USAID requires the submission of a Branding Strategy and a Marking Plan by the “apparently successful applicant.” The apparently successful applicant’s proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements specified in 2CFR 700.348. Based on the above, a branding strategy and marking plan will not be required with the submission of the concept papers. However, apparent successful applicants will be required to submit both of these documents.

Further information on how to adhere to branding policies and marking requirements for grants and cooperative agreements are found in ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is —From the American people— on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicants to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. ADS 320 may be found at the following website: www.usaid.gov/policy/ads/300/320.pdf.

Sustainability

Concept papers should demonstrate the potential to yield sustainable solutions to the development challenge being addressed. The proposed activity should emphasize the transfer of methodologies and know-how among Salvadoran Organizations. Applicants should include activities that strengthen internal organizations capacity to eventually take the lead in expanding and sustaining programs after USAID funding ends. The activities should demonstrate proven success.

Gender

Concept papers should demonstrate how it will address any gender gaps to the proposed Programmatic areas based on gender analysis that considers how the roles that men and women play could impact implementation and/or results as well as how the proposed activity could potentially affect men and women differently.

Controlling Language

It is USAID policy that English is the official language of all award documents because a translation may not convey the full meaning of the original. Therefore, any resulting awards under this NFO will be in English only. No Spanish translation will be provided.

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

9. Application Submission Procedures

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

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.

Specific instructions for the submission of the full application will be provided to the apparent successful applicant, and generally only electronic submission will be required.

If an application is 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](http://www.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.

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SECTION E: APPLICATION REVIEW INFORMATION

1. Evaluation of Concept Papers

Evaluation of concept papers will be made in two steps. The first step will check for adherence of the following mandatory requirements:

First Step:

1. Does the concept address the goals of the program?
2. Are the proposed activities reasonable in their scope, approach, and/or expected results?
3. Does the proposed activity include a gender component so that, at a minimum, women beneficiaries are identified?
4. Does the organization present proof of a minimum level of organization capability, especially as it relates to finances?

Second Step:

Applicants must meet the four mandatory requirements listed above in order to proceed with the technical evaluation of the concept paper.

USAID will conduct a merit review of the concept papers that complies with the instructions in this NFO. Applications will be reviewed and evaluated in accordance with the following criteria shown in descending order of importance:

- **Alliance with USAID goals:** Degree to which the concept paper contributes to the achievement of the Programmatic areas outlined in Section A of this NFO.
- **Technical Feasibility:** The concept paper describes well-defined and achievable objectives demonstrating how the proposed idea(s) will be successful. The enabling environment and the proposed combination of partner assets, resources, and expertise demonstrates how it will yield significant impact on one or more of the Programmatic areas mentioned in Section A. The financial and technical approaches must demonstrate viability. In addition, the involvement of local partners and/or beneficiaries must be clear.

2. Evaluation Criteria for full Application (if concept paper is selected)

The apparent successful applicants whose concept papers are selected for submission of a full application will be evaluated in accordance with the following evaluation criteria which are described in descending order of importance:

1. Technical Approach: Demonstrated approach that it is feasible, innovative and appropriate. USAID will review the extent to which the proposed technical approach can reasonably be expected to produce the intended results in a specific timeframe. This include reviewing the relevance of the approach to the problem to be addressed, whether the proposed activities are

consistent with the objectives sought, how the activities are interrelated, and the proposed approach for monitoring, tracking, and reporting activities and results. USAID will review specifically for the degree of innovation proposed in the technical approach and the extent to which the applicant has considered innovative partnerships. USAID will review the effectiveness of the applicant's approach to gender issues related to the proposed activities. For applications with a focus on sustaining activities or organizational capacity beyond the life of the award, USAID will review the extent to which the proposed activity promotes, strengthens, and is supported by sustainable local organizations that can champion sound concepts, innovative practices, and changes beyond the life of the award.

2. Management and Staffing Plan: USAID will review the effectiveness of the approach in terms of internal organizational capability, including technical, administrative and financial management, and proposed staffing. USAID will strongly consider the ability and commitment to rapidly mobilize and start work. If partnerships are proposed, USAID will review the degree to which roles and responsibilities are clearly defined.

3. Sustainability: USAID will review a concise sustainability plan that demonstrates the activity's ability to be self-sufficient or replicable without the necessity of USAID further intervention in the medium and long term. USAID will review the extent to which strengthening of local organizational capacity, leveraging of private sector resources, and/or cost-share commitments are incorporated to enhance the activity's sustainability.

4. Past Performance: USAID will review past performance relative to demonstrated relevant technical experience and successful past performance in activities of similar technical content and scope in developing countries, preferably in Latin America.

B. Cost Evaluation

While Cost is less important than technical and is not weighted, however, the cost applications of the apparently successful technical applications will be evaluated for cost effectiveness including the level of proposed cost share. 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.

Cost Sharing

USAID has established a suggested cost share of 10% of the Award's projected value for the recipient of the award. Non-USAID resources from private firms and institutions (such as equipment, training, level of effort and any in-kind contributions) may be considered part of cost share. Cost sharing may be also demonstrated either through direct funding, beneficiary contributions, in-kind assistance, or a combination thereof. USAID shall make the final determination and assess whether or not the Applicants cost share contributions (e.g. categories or items) meet the standards set in 2CFR 200

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SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

A successful applicant can expect to receive following selection, an email notification from the Regional Office of Acquisition requesting the full application, technical and cost applications, and it will describe the requirements for submission. Also, email notifications to unsuccessful applicants will be provided, briefly describing the reasons why their concept paper was not considered for full application.

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

Any resulting will be administered in accordance with the following which may be found at <http://www.usaid.gov/ads/policy/300/303>.

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

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

3. Reporting Requirements.

Financial Reporting:

The successful Applicant will provide financial reporting on a quarterly basis and will submit SF-425. Specific financial reporting will be in accordance with the requirement of the award document.

Performance Reporting

The successful Applicant will use the standard form Performance Progress Report (SF-PPR) to report performance progress for the program under the award when the program exceeds \$100,000 or more per project/grant period.

Development Experience Clearinghouse Requirements

The successful Applicant will comply with ADS 540 regarding reporting requirement to the Development Experience Clearinghouse (DEC). The specific guidance on the submission of copies of reports and other information to USAID's Development Experience Clearinghouse will be provided as part of the award document.

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SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

(1) Points of contact (POC) for questions while the funding opportunity is open.

USAID/El Salvador
Ms. Blanca Ibarra
Ms. Alejandra Quinonez
Acquisition and Assistance Specialists

Emails: bibarra@usaid.gov
 aquinonez@usaid.gov

Phone numbers: 2501-3331
 2501-3408

Any prospective applicant desiring an explanation or interpretation of this NFO must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award will not be binding. Any information given to a prospective applicant concerning this NFO will be furnished promptly to all other prospective applicants as an amendment of this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

SECTION H: OTHER INFORMATION

1. USAID reserves the right to fund any or none of the applications submitted.
2. Some awards may incorporate specific requirements that recipients will need to comply within a given timeframe. These requirements are normally identified in the award as “special award conditions”.
3. Compliance with Local Labor Laws and Environmental Regulations. The selected Recipients must comply with all required laws and regulations pertaining to labor and environment or any other law or regulation in El Salvador.
4. Value Added Tax (VAT). The VAT charged in El Salvador is to be excluded from the price of the Award and is generally not an allowable cost under the Award. USAID will work with the Awardee and the Government of El Salvador to provide the Awardee the necessary documentation to obtain the VAT tax exemption.
5. Disclaimer. Issuance of this NFO does not constitute an award or commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of concept papers or an application. This NFO provides a vehicle for soliciting and receiving concept papers from potential implementing partners. USAID/El Salvador may amend this NFO from time to time, as necessary or appropriate. Any such amendments can be found at www.grants.gov.
6. Instructions on how to register in DUNS and SAM

1- D-U-N-S Numbers

What is a DUNS Number and why do I need to obtain one?

The Data Universal Number System (DUNS) number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. If your organization does not know its DUNS number or needs to register for one, visit Dun & Bradstreet website: <http://fedgov.dnb.com/webform/displayHomePage.do>

How long should it take?

If requested over the phone, DUNS is provided immediately. Webform requests take 1 to 2 business days.

List of Information you will need to obtain a DUNS number (if your organization does not already have one):

- Name of organization
- Organization address
- Name of the CEO/organization owner
- Legal structure of the organization (corporation, partnership, proprietorship)
- Year the organization started
- Primary type of business
- Total number of employees (full and part time)

If your organization does not have a DUNS number, use the Dun & Bradstreet (D&B) online registration to receive one free of charge.

How do I get my D-U-N-S Number?

Visit [D-U-N-S Request Service](#) to obtain more detailed instructions on applying for your D-U-N-S Number. Also, see the [FAQs](#) for obtaining a D-U-N-S Number and visit [System for Award Management \(SAM\)](#). You may also refer to the attached guide, available in Spanish only.

2- SAM

What is SAM? The System for Award Management (SAM) is combining federal procurement systems and the Catalog of Federal Domestic Assistance into one new system.

Register/Update Entity

You can register your Entity (business, individual, or government agency) to do business with the Federal Government. If you are interested in registering or updating your Entity, you must first create a user account. Visit <https://www.sam.gov/> for registration.

7. The following Representations and Mandatory (M) and required as applicable (RAA) standard provisions are part of this solicitation:

REPRESENTATION BY ORGANIZATION REGARDING A DELINQUENT TAX LIABILITY OR A FELONY CRIMINAL CONVICTION (August 2014)

(a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that – (1) Was “convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or (2) Has any “unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”. For the purposes of section 7073, it is USAID’s policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation: (1) The Applicant represents that it is ☐ is not ☐ an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months. (2) The Applicant represents that it is ☐ is not ☐ an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability. (End of provision)

M20. TRAFFICKING IN PERSONS (April 2016)

a. The recipient, subawardee, or contractor, at any tier, or their employees, labor recruiters, brokers or other agents, must not engage in:

(1) Trafficking in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime) during the period of this award;

(2) Procurement of a commercial sex act during the period of this award;

(3) Use of forced labor in the performance of this award;

(4) Acts that directly support or advance trafficking in persons, including the following acts:

i. Destroying, concealing, confiscating, or otherwise denying an employee access to that employee's identity or immigration documents;

ii. Failing to provide return transportation or pay for return transportation costs to an employee from a country outside the United States to the country from which the employee was recruited upon the end of employment if requested by the employee, unless:

a) exempted from the requirement to provide or pay for such return transportation by USAID under this award; or

b) the employee is a victim of human trafficking seeking victim services or legal redress in the country of employment or a witness in a human trafficking enforcement action;

iii. Soliciting a person for the purpose of employment, or offering employment, by means of materially false or fraudulent pretenses, representations, or promises regarding that employment;

iv. Charging employees recruitment fees; or

v. Providing or arranging housing that fails to meet the host country housing and safety standards.

b. In the event of a violation of section (a) of this provision, USAID is authorized to terminate this award, without penalty, and is also authorized to pursue any other remedial actions authorized as stated in section 1704(c) of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013).

c. If the estimated value of services required to be performed under the award outside the United States exceeds \$500,000, the recipient must submit to the Agreement Officer, the annual "Certification regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013" as required prior to this award, and must implement a compliance plan to prevent the activities described above in section (a) of this

provision. The recipient must provide a copy of the compliance plan to the Agreement Officer upon request and must post the useful and relevant contents of the plan or related materials on its website (if one is maintained) and at the workplace.

d. The recipient's compliance plan must be appropriate to the size and complexity of the award and to the nature and scope of the activities, including the number of non-United States citizens expected to be employed. The plan must include, at a minimum, the following:

(1) An awareness program to inform employees about the trafficking related prohibitions included in this provision, the activities prohibited and the action that will be taken against the employee for violations.

(2) A reporting process for employees to report, without fear of retaliation, activity inconsistent with the policy prohibiting trafficking, including a means to make available to all employees the Global Human Trafficking Hotline at 1-844-888-FREE and its e-mail address at help@befree.org.

(3) A recruitment and wage plan that only permits the use of recruitment companies with trained employees, prohibits charging of recruitment fees to the employee, and ensures that wages meet applicable host-country legal requirements or explains any variance.

(4) A housing plan, if the recipient or any subawardee intends to provide or arrange housing. The housing plan is required to meet any host-country housing and safety standards.

(5) Procedures for the recipient to prevent any agents or subawardee at any tier and at any dollar value from engaging in trafficking in persons activities described in section a of this provision. The recipient must also have procedures to monitor, detect, and terminate any agents or subawardee or subawardee employees that have engaged in such activities.

e. If the Recipient receives any credible information regarding a violation listed in section a(1)-(4) of this provision, the recipient must immediately notify the cognizant Agreement Officer and the USAID Office of the Inspector General; and must fully cooperate with any Federal agencies responsible for audits, investigations, or corrective actions relating to trafficking in persons.

f. The Agreement Officer may direct the Recipient to take specific steps to abate an alleged violation or enforce the requirements of a compliance plan.

g. For purposes of this provision, "employee" means an individual who is engaged in the performance of this award as a direct employee, consultant, or volunteer of the recipient or any subrecipient.

h. The recipient must include in all subawards and contracts a provision prohibiting the conduct described in section a(1)-(4) by the subrecipient, contractor, or any of their employees, or any agents. The recipient must also include a provision authorizing the recipient to terminate the award as described in section b of this provision.

[END OF PROVISION]

M.22. LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2013)

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

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

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

d) Description: Construction is not eligible for reimbursement under this award, unless specifically approved following a USAID approval process.

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

[END OF PROVISION]

M.21. USAID IMPLEMENTING PARTNER NOTICES (IPN) PORTAL FOR ASSISTANCE (JULY 2014)

(a) Definitions

“USAID Implementing Partner Notices (IPN) Portal for Assistance (“IPN Portal)” means the single point where USAID posts proposed universal bilateral amendments for USAID awards, which can be accessed electronically by registered USAID recipients. The IPN Portal is located at <https://sites.google.com/site/usaidipnforassistance/>.

“IPN Portal Administrator” means the USAID official designated by the Director, M/OAA, who has overall responsibility for managing the USAID Implementing Partner Notices Portal for Assistance.

“Universal bilateral amendment” means those amendments with revisions or new requirements or provisions that affect all awards or a designated class of awards, as specified in the Agency notification of such revisions or new requirements.

(b) By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

(1) Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and

(2) Receive universal bilateral amendments to this award and general notices via the IPN Portal.

(c) Procedure to register for notifications.

Go to <https://sites.google.com/site/usaidipnforassistance/> and click the “Register” button at the top of the page. Recipient representatives must use their official organization email address when subscribing, not personal email addresses.

(d) Processing of IPN Portal Amendments

The Recipient may access the IPN Portal at any time to review all IPN Portal amendments; however, the system will also notify the Recipient by email when the USAID IPN Portal Administrator posts a universal bilateral amendment for Recipient’s review and signature. Proposed USAID IPN Portal amendments distributed via the IPN Portal are applicable to all awards, unless otherwise noted in the proposed amendment.

Within 15 calendar days from receipt of the notification email from the IPN Portal, the Recipient must do one of the following:

(1) (a) verify applicability of the proposed amendment for their award(s) per the instructions provided with each amendment; (b) download the amendment and incorporate the following information on the amendment form: award number, organization name, and organization mailing address as it appears in the basic award; (c) sign the hardcopy version; and (d) send the signed amendment (by email or hardcopy) to the AO for signature. The Recipient must not incorporate any other changes to the IPN Portal amendment. Bilateral amendments provided through the IPN Portal are not effective until the both the Recipient and the AO sign the amendment;

(2) Notify the AO in writing if the amendment requires negotiation of additional changes to terms and conditions of the award; or

(3) Notify the AO that the Recipient declines to sign the amendment.

Within 30 calendar days of receipt of a signed amendment from the Recipient, the AO must provide the fully executed amendment to the Recipient or initiate discussions with the Recipient.
[End of Provision]

M.24 - PROHIBITION ON PROVIDING FEDERAL ASSISTANCE TO ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS (APRIL 2015)

(a) The recipient must not require employees, subawardees, or contractors seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractor from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(b) The recipient must notify employees that the prohibitions and restrictions of any internal confidentiality agreements covered by this provision are no longer in effect.

(c) The prohibition in paragraph (a) of this clause does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) (1) In accordance with section 743 of Division E, Title VI I, of the Consolidated and Further Continuing Resolution Appropriations Act, 2015 (Pub. L. 113-235), use of funds appropriated (or otherwise made available) under that or any other Act may be prohibited, if the Government determines that the recipient is not in compliance with the requirements of this provision.

(2) The Government may seek any available remedies in the event the recipient fails to comply with the requirements of this provision.

(End of clause)

RAA5. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (DECEMBER 2014)

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

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

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

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

c. Definitions. For purposes of this award term:

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

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

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

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

(4) Subaward:

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

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

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

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

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

ADDENDUM (JUNE 2012):

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

(1) Awards to individuals

(2) Awards less than \$25,000 to foreign recipients to be performed outside the United States (based on a USAID determination)

(3) Awards where the Agreement Officer determines, in writing, that these requirements would cause personal safety concerns.

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

[END OF PROVISION]

RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)

a. Reporting of First-Tier Subawards.

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

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.(1) of this award term to www.fsrs.gov.

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

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

b. Reporting Total Compensation of Recipient Executives.

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

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

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

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

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

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

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

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

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

c. Reporting of Total Compensation of Subrecipient Executives.

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

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

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and

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

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of

1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

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

(i) To the recipient.

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

d. Exemptions.

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

(1) Subawards, and

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

e. Definitions.

For purposes of this award term:

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

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

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

(3) Subaward:

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

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

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

(4) Subrecipient means an entity that:

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

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

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

(i) Salary and bonus.

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

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

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

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

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

[END OF PROVISION]

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Attachment 1A

Concept Paper Format

(Not to exceed five pages)

Proposed Activity Name:

Timeframe proposed (Estimated Start/End Date):

Applicant Name:

Applicant's Contact Person:

Applicant's Address:

Telephone Number:

Email:

Type of Organization (U.S or non-U.S. Organizations):

Programmatic area Summary:

Purpose

[Concisely describe the Activity Purpose/what development problem/issue will be addressed]

Goals and Objectives

[Explain the goals of the activity describing what is the activity trying to achieve]

Links to NFO

[Select which of the Programmatic areas of the NFO is the proposed activity linked to:]

Programmatic areas	Check one or more ✓
1. Human Rights	
2. Juvenile Justice	
3. Supporting Civil Society Efforts to Strengthen Democratic Governance	

Activity Strategy

[Explain the proposed approach to addressing the project issue/opportunity.]

Activity Beneficiaries

[Describe the specific number and type of beneficiaries to be reached.]

Geographic Location

[Describe where the activities will be carried out and where they are expected to have an impact.]

Activity Description

[Briefly summarize the main activities proposed.]

Cross Cutting Practices

[Briefly summarize how the activity will apply the suggested cross-cutting practices in the NFO]

Expected Impact and Indicators

[Summarize the main expected outputs and outcomes from the activity]

Organizational Capacity

[Describe your organizations technical and administrative capacity.]

Partnership Arrangements

[Describe any expected partnership arrangements in detail, with the names of the partner organizations and their specific role in the activity and contributions.]

History of Performance

[Provide a list of contracts, grants, etc. involving similar or related activities during the past three years. The reference information for these awards must include the performance location, award number (if applicable), a brief description of the work performed, and a point of contact names with current telephone numbers]

Attachment 1B

Cost Information Format

(Submit this page separate from the other sections of the concept paper)

BUDGET LINE ITEMS	TOTAL FUNDING REQUESTED FROM USAID (A)	TOTAL COST SHARE PROPOSED (B)	TOTAL COST OF THE PROJECT (A + B)
1. PERSONNEL (SALARIES)			
2. FRINGE BENEFITS			
3. TRAVEL, TRANSPORTATION, AND PERDIEM			
4. EQUIPMENT			
5. SUPPLIES			
6. CONTRACTUAL (SUB-CONTRACTS, SUB-AWARDS)			
7. CONSTRUCTION			
8. OTHER DIRECT COSTS			
9. TOTAL COSTS (SUM OF 1-8)			
10. INDIRECT CHARGES			
11. TOTAL (SUM OF 9- 10)			