Issuance Date: Friday, December 19, 2008
Closing Date: Thursday, January 29, 2009
Closing Time: 3:00 p.m. (Kigali Time)

Subject: Request for Applications (RFA) No. USAID-RWANDA-696-09-003-RFA
"MCC Threshold Program Media Strengthening Project"

Dear Sir/Madam:

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for the implementation of "Media Strengthening Project" in Rwanda. The main objective is to assist USAID/Rwanda and the Government of Rwanda (GOR) strengthen Rwanda's media sector.

This project will focus on: i) building the capacity and skills of media owners, managers, editors, professional media associations and individual journalists in order to increase the sustainability and professionalism of private media outlets; and ii) establishing two independent community radio stations. The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective as described in the program description. Please refer to the Program Description (RFA Section C) for a complete statement of goals and expected results.

USAID anticipates awarding one Cooperative Agreement with a total estimated cost of US$2 million to support these activities over 24 months. **This RFA seeks proposals from US, Rwandan and/or other non-US NGOs and firms from around the world.**

USAID reserves the right to fund any or none of the applications submitted in response to this RFA.

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 the agreement 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 agreement.
For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee; and

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

This RFA and any future amendments can be downloaded from http://www.grants.gov .

Applications shall be submitted electronically via e-mail in two separate parts: (a) technical and (b) cost or business application. Applications shall be submitted to Aster Kebede, Sr. A&A Specialist, at askebede@usaid.gov with a copy to the Regional Agreement Officer, Marcus A. Johnson, Jr. at marcusjohnson@usaid.gov.

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter. Applicants are responsible to ensure that applications are received at USAID in Kigali by the due date and time specified above.

The federal grant process is now web-enabled, allowing for applications to be received on-line on the grants.gov website, http://www.grants.gov . USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Hard copies are required in addition to on-line applications.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the Grants.gov opportunity. It is the responsibility of the recipient of the application document to ensure that it has been received from http://www.grants.gov in its entirety.

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. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant(s) 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.

Any questions concerning this RFA should be submitted in writing, via e-mail to askebede@usaid.gov with a copy to marcusjohnson@usaid.gov. The deadline for submitting questions is **Monday, January 12, 2009, 3:00 p.m. Kigali time. No questions will be responded to after this date.** Any additional information regarding this RFA will be furnished through an amendment to this RFA.

In the event of any inconsistency between the sections comprising this RFA, it shall be resolved by the following order of precedence:

(a) Section B - Selection Criteria;
(b) Section A - Application Format;
(c) Section C - Program Description; and
(d) This Cover Letter.

Thank you for your interest in USAID Rwanda’s media strengthening project activities.

Sincerely,

Marcus A. Johnson, Jr.
Regional Agreement Officer
USAID/EAST AFRICA

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SECTION A - APPLICATION FORMAT

PREPARATION GUIDELINES

a. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the guidelines herein. Section B addresses the evaluation procedures for the applications. Applications shall be submitted by e-mail in two separate parts: (a) technical, and (b) cost or business application as described in the cover letter of this RFA.

b. Applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. Such late or incomplete applications will be considered in USAID's sole discretion depending on the status of USAID's application review process as of the time of receipt and/or the quality of other applications received.

c. Technical applications should be specific, complete and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Applications should take into account the evaluation criteria found in Section B.

d. Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the Sr. A&A Specialist at the e-mail address set forth in the RFA cover letter. The questions and answers (Q&A) will be posted as an amendment to the RFA on www.grants.gov. **The deadline for receipt of questions is Monday, January 12, 2009, at 3:00 p.m. Kigali time.** Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective recipient concerning this RFA will also be furnished to all other prospective recipients as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective recipients.

e. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes on hard copies must be initialed by the person signing the application. To facilitate the competitive review of the applications, applications should conform to the format prescribed below.

f. Submission of Applications by E-mail: Software for e-mail attachments: Microsoft Word (for narrative text) or Excel (for tables) or Adobe Acrobat PDF. Please convert your documents to one of these software programs before sending them to USAID. Zipped files cannot be accepted due to our computer system firewall restrictions; however, PDF files (for all files except budgets) are acceptable. Applicants are responsible for confirming that their complete applications were received electronically by USAID.

g. Telegraphic or fax applications will not be considered.

h. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications.

3. Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes should:

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

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages___."; and

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

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

I. TECHNICAL APPLICATION FORMAT

Technical applications are limited to a maximum of 32 single sided pages. Any page **OVER 32 WILL NOT BE EVALUATED.** The technical application shall be written in English, using Microsoft Word, Arial, 11 point font on A4 paper 8.27” x 11.69”, single spaced, 10 characters per inch with each page numbered consecutively, and no less than 1” margins on all sides. A proposed application outline (technical and cost) is provided below as follows:

- The technical application should be organized by the technical evaluation criteria.
- The past performance references required by this section shall be included as an annex or attachment of the technical application.
- Letters of intent and or/memoranda of understanding demonstrating planned public-private partnerships.
- The outline for the technical application is specified below. All applications MUST conform to the guidance below in terms of order, content, and page limitations.

Executive Summary: 2 page maximum.

Technical Approach: 25 page maximum total. This section should address the project summary and objectives in Section B of this document and should be organized according to the Evaluation Criteria.

Monitoring and Evaluation Plan: 5 page maximum. This preliminary plan should include explicit baselines, targets, benchmarks and proposed indicators to be monitored. The plan should describe the process for data collection and monitoring as well as a description of the proposed interaction with USAID/Rwanda and implementing partners.

II. COST APPLICATION FORMAT

The Cost or Business Application is to be submitted separate from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

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

A. Applicants must submit budgets using Standard Form 424 and 424A which can be downloaded from the USAID web site, http://www.usaid.gov/policy/ads/300/303.pdf (303.4.3 Mandatory Forms). In addition, applicants must submit an accompanying budget narrative which provides in detail the total proposed costs for implementation of the proposed program. The budget shall discuss and support the components of each SF-424 budget element, such as:

a) The breakdown of all costs according to each partner organization (or sub-awardee) involved in the program, in the format described herein.
b) The costs associated with home office, expatriate, and local in-country labor, i.e. identification of positions, daily or hourly compensation, hours/days to be worked, etc.
c) A breakdown of all other direct costs to include cost elements (communications, office supplies, printer, vehicle, office rent, etc), unit of measure (monthly estimate, cost per unit), number of units, basis of the estimate and programmatic need for the expenditure.
d) Details of travel, per diem and other transportation expenses to include number of international trips, expected itineraries, cost of travel, number of per diem days and per diem rates.
e) Copies of your organization's most recent Negotiated Indirect Cost Rate Agreement (NICRA) issued by your organization's cognizant audit agency or information to support any non-direct costs recovered by a percentage method.
f) Contributions offered by or expected to be sought from other sources should be noted.

If your organization intends to use subcontractors or sub-grantees, indicate the extent intended, the method of identifying subcontractors and sub-grantees, the extent to which competition will be utilized, and a complete cost breakdown, as well as all of the information required for the applicant. Include the technical resources and expertise of proposed subcontract or sub-grantee organizations and of their professional personnel proposed, to include the role of each worker to be involved in the project, and the amount of time each will devote to the project.

The above explanation of the proposed costs/prices must identify the factors upon which the estimate is based and show the arithmetic in reaching the cost figure. The cost application shall also include a description of the relationship between your organization and the proposed personnel including a certification as to whether the individual is a full-time employee, intermittent employee, or a consultant.

B. Required certifications and representations (as attached in section D of this RFA):

C. Cost Sharing: Applicants are required to commit to provide some amount of cost-share, in-kind contribution, or matching funds from other non-US Federal sources under this program's cost.

D. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant audit agency (USAID or another agency of the US federal government) shall also submit the following information:

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

2. Projected budget, cash flow and organizational chart;

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

E. Applicants shall submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial, management and personnel resources and systems or the ability to obtain such resources as required during the performance of the award.

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

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

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

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

F. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual, personnel policies, travel policies, and procurement policies, and audits received for the past three years. If this material has already been submitted to the U.S. Government, the applicant should advise which Federal Agency has a copy.

G. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA, formerly known as M/OP).

III. COOPERATIVE AGREEMENT AWARD

The Government may award the resulting cooperative agreement on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

IV. AUTHORITY TO OBLIGATE THE GOVERNMENT

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.

V. REFERENCES

Applicable Regulations & References

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
  http://www.usaid.gov/pubs/ads/300/303maa.pdf

- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
  http://www.usaid.gov/policy/ads/300/303mab.pdf

- 22 CFR 226
  http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html

- OMB Circular A-122
  http://www.whitehouse.gov/omb/circulars/a122/a122.html

- OMB Circular A-110
  http://www.whitehouse.gov/omb/circulars/a110/a110.html

- ADS Series 300 Acquisition and Assistance
  http://www.usaid.gov/pubs/ads/

- SF-424 Downloads
  http://www.grants.gov/agencies/aapproved_standard_forms.jsp

VI. SPECIAL CONSIDERATIONS

The Standard Provisions for U.S. NGOs and Non-U.S. NGOs referenced above under Section V, are required to be used when applicable. The following Standard Provisions are provided below in full text:

- Marking Under Assistance Instruments
- Executive Order on Terrorist Financing
- Anti-Trafficking Activities
- USAID Disability Policy

MARKING UNDER ASSISTANCE INSTRUMENTS (DEC 2005)

BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) **Definitions**

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) **Submission.** The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) **Submission Requirements**

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

<u>(1) Positioning</u>

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors]*.
Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo. Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents– specifically mothers*
.
What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?
Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.
Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications

.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) **Award Criteria**. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING PLAN – ASSISTANCE (December 2005)

(a)**Definitions**

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

A ***Presumptive Exception*** exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) **Submission.** The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) **Submission Requirements**. The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) **Presumptive Exceptions.**

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical application and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.
(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness.
In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) **Award Criteria**: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.
Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brand mark, with the tagline that clearly communicates that our assistance is "from the American people." The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

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

(10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

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

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 45 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

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

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

IMPLEMENTATION OF E.O. 13224 -- EXECUTIVE ORDER ON TERRORIST FINANCING (MARCH 2002)

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/subawards issued under this agreement.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:

http://pdf.dec.org/pdf_docs/PDABQ631.pdf

b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

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SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the evaluation criteria set forth below. USAID reserves the right to determine the resulting level of funding for the agreement award.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. The technical evaluation criteria is listed in descending order of relative importance. “Technical Approach” is the most important factor. Key Personnel is the second most important factor and so on.

The cost/business applications of all applicants submitting a technically acceptable application will be evaluated by the Agreement Officer for general reasonableness, cost realism, allowability and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

TECHNICAL EVALUATION CRITERIA

1. Technical Approach

- Project activities are informed by the guiding principles elaborated in Section IV, and specifically address the objectives and related activities listed in Sections III and VI.
- The technical proposal is performance based, and proposes innovative interventions that have a high probability of sustainability, and that can positively impact the targeted outcomes in Section IX, along with the three MCC Ruling Justly indicators described in Section II.
- The technical proposal demonstrates a clear understanding of the challenges that the media sector in Rwanda faces, and it proposes interventions that respond to these challenges in ways that foster collaborative and productive relationships between public and private stakeholders in the media sector.

2. Partnerships, Participation and Adaptive Management

- Project clearly demonstrates active participation, responsibility and benefit-sharing across USG programs and implementing partners. Proposal includes diverse partners to further the objectives of the project. Mechanisms for adaptive project management are evident in project design. Activities are designed to capture innovation and lessons learned. Have a demonstrated ability to identify and initiate project-related public-private partnerships.

3. Key Personnel

- Qualifications and experience of proposed Key Personnel and other professional staff listed in Section X.
- Proposed staffing capable of carrying out project and ensuring long term success by building capacity of Rwandan nationals.

4. Past Performance and Institutional Capability

- Demonstrated success in providing similar services on past agreements.
- Demonstrated capacity to provide adequate technical support across sectors.

COST EVALUATION:

Cost has not been assigned a score but will be evaluated for cost reasonableness, allocability, allowability, cost effectiveness and realism, adequacy of budget detail and financial feasibility and cost sharing. While cost may be a determining factor in the final award(s) decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA. The percentage of funds spent on programming versus administrative costs will be taken into consideration, i.e. the cost of staff salaries, equipment, and facilities vs. costs of field activities and interventions that directly impact the target beneficiaries. Applications providing the best value to the Government will be more favorably considered for award.

(*Note:* An applicant will be considered ineligible if there is no evidence and commitment of some amount of cost sharing in their proposed cost application. See Section A.II.C. on page 6.)

Applications will be ranked in accordance with the selection criteria identified above. USAID reserves the right to determine the resulting level of funding for each agreement being selected for award.

SECTION C – PROGRAM DESCRIPTION
Media Strengthening Project

I. Summary

This program description describes a two-year project to strengthen Rwanda's media sector. The project will focus on:

- building the capacity and skills of media owners, managers, editors, professional media associations, and individual journalists to increase the sustainability and professionalism of private media outlets; and
- establishing two independent community radio stations.

This media strengthening project is a part of the Millennium Challenge Corporation (MCC) Threshold Program, which was developed to address Rwanda's MCC Ruling Justly indicators, specifically Political Rights, Civil Liberties, and Voice and Accountability. The Rwanda Threshold Program has additional activities which this media strengthening project will actively link with and support. These include the following: improve the impartiality, efficiency, and independence of the judiciary; facilitate the implementation of Rwanda's legislative reform agenda; enhance the effective engagement between government and civil society, particularly in the areas of policy formulation and development planning; and improve the internal investigations functions of the Rwandan National Police. Rwanda's Threshold Program will be implemented by USAID/Rwanda in partnership with the Government of Rwanda (GOR).

II. Goal

The principal goal of Rwanda's Threshold Program and of this media strengthening project is to positively impact the MCC Ruling Justly indicators, specifically Political Rights, Civil Liberties, and Voice and Accountability.

- Civil Liberties will be addressed by enhancing the independence of the media.
- Political Rights will be targeted by increasing the openness, transparency, and accountability of government to its constituents through an independent and sustainable media sector.
- Voice and Accountability will be addressed by enhancing: 1) the independence and quality of the media; 2) the degree to which civic groups can testify, comment on, and influence pending government policy or regulation; and 3) the degree to which citizens have access to public information.

III. Objectives

1. ***Increase the sustainability of Rwandan media outlets and the professionalism of Rwandan journalists, media owners, managers, and editors; and***

2. ***Increase the capacity of media associations to provide appropriate services to their members and to effectively engage with government in the interests of their members.***

In order to accomplish these two objectives, an adaptive management approach should be developed and applied throughout the life of the activity.[1] The implementer shall propose a variety of practical and relevant approaches to transferring skills and information, including but not limited to:

[1] Mostly applied to environmental management settings, adaptive management emphasizes the importance of evaluating results and adjusting interventions on the basis of what has been learned, and assuring for the presence of a feedback loop between project monitoring and decision-making.

- traditional classroom training settings that have a strong practical focus;
- mentorship programs;
- the creative use of information technologies;
- internships; and
- the attachment of senior media professionals to local media outlets as resident advisors.

The implementer shall also proactively pursue public-private partnerships that address the project goals and objectives in meaningful and sustainable ways. In addition to positively impacting the MCC indicators described above, the implementer shall develop and implement interventions to address the targeted outcomes described in Section IX.

IV. Guiding Principles

In its application and in implementing this project, the implementer should adhere to the following principles:

- Begin implementation by focusing on high visibility, low-risk activities with high probabilities of success, where possible, in order to establish positive momentum for the project and build trust and credibility with stakeholders;
- Seek, develop, and maintain private and/or public sector partnerships that augment project interventions and/or sustain them beyond the life of the project;
- Be responsive to the designated GOR actors within the parameters of the project, including but not limited to the Ministry of Information and the Ministry of Local Government;
- Base its interventions on internationally- and regionally-recognized standards for media freedom and accountability as defined by such international non-profit organizations as Reporters without Frontiers, the Freedom House Press Index, and the International Research and Exchanges Board (IREX) Media Sustainability Index;
- Plan, design, and implement all activities that promote the sustainability[2] of the project and its interventions through widespread buy-in of activities; transfer of critical and relevant skills and knowledge; use of enabling strategies that encourage a learning-by-doing approach; and use of existing local and regional talent, resources, institutions, mechanisms, and forums for project interventions whenever possible in order to take advantage of and build on local and regional knowledge and capacities;
- Use an asset-based approach in designing and implementing this project (An asset-based approach takes the assets of participants as the starting point, as opposed to their needs, for project assessment, design, and implementation and makes participants and other stakeholders responsible partners in the development process and in planning, prioritizing, and implementing the project.);
- Implement and manage the project in a culturally relevant manner by taking Rwandan norms, expectations, attitudes, and behaviors into account, particularly in terms of how they may offer entry points for learning and engagement or that may require adaptation of methods, approaches, and assumptions;
- Promote gender equity through the planning, management, and implementation of all project activities;
- Support the dissemination of lessons learned and best practices between all project beneficiaries and to other relevant media sector stakeholders and facilitate the establishment of networks for exchange, peer learning, and problem solving between all project beneficiaries and other relevant media sector stakeholders;

[2] The implementer shall develop a realistic definition of "sustainability" that explicitly accounts for the challenges described above, and that takes into consideration the two-year duration of this project.

- Coordinate and collaborate with other USAID/Rwanda MCC activities, media capacity-building organizations, projects, donors and individuals where possible and desirable;
- Utilize an adaptive management approach to all aspects of project implementation to assure that all activities are well coordinated with other donors, and are responsive to GOR priorities in the media sector.

The above guiding principles should be followed within the scope of overall direction from the USAID/Rwanda Cognizant Technical Officer managing the project.

V. Background

Rwanda's genocide of 1994 was fuelled by a "hate media" propaganda campaign that was instrumental in implicating ordinary people in violence. Some media practitioners, due, in part, to their lack of professionalism and ethics, became powerful tools in the hands of the extremists. For example, in the years immediately preceding the genocide, the Habyarimana government-controlled *Radio et Television Libre de Mille Collines* (RTLM) was openly used by propagandists and government officials to incite hate among Rwandans. During this period a number of newspapers were also started that reinforced messages conveyed by RTLM, including the widely publicized example of Hassan Ngeze's Kinyarwanda language newspaper, *Kangura*. Established in 1990, this bi-monthly newspaper consistently published articles that divided the country along ethnic lines, setting the stage for the genocide.

As a result of this historical legacy, the media sector in Rwanda currently faces a number of difficult challenges that need to be addressed, including but not limited to: a limited number of skilled journalists with sufficient training and knowledge of the profession; a lack of profitability and sustainability among private sector media houses; and a distrust of the media due to its role in the genocide.

The official use of three languages in Rwanda (Kinyarwanda, English, and French), combined with the increasing prominence of Swahili, also presents a serious challenge for the establishment of financially viable media outlets that reach a broad-based audience. For print media, this is compounded by an historical reliance on radio and other oral forms of communication as the main sources of information for Rwanda's predominantly rural population. Rwanda has yet to develop a strong culture of reading as compared to many of its neighbors, in spite of a relatively high literacy rate of approximately 70%. Only a small fraction of the overall population reads a newspaper, with most of those readers residing in Kigali and other town centers. According to the IREX "Media Sustainability Index 2006-2007" for Rwanda, only 20% of the literate population in the country can afford newspapers on a regular basis, but a majority of Rwandans have access to radio broadcasts.

Given these challenges, the GOR has committed itself to protecting and advancing civil rights and liberties in Rwanda by creating an enabling legal environment for media freedom, and building its professional capacity to act responsibly in this environment. The GOR believes that this can be achieved if media practitioners adhere to the basic tenets of professional conduct and ethics in an environment of enhanced media freedom. In order to achieve these goals, the GOR has focused its efforts on two areas described below: increasing government-sponsored opportunities for current and aspiring journalists in Rwanda to master the fundamentals of journalism and become accredited; and developing a new legal framework for the media.

The National University of Rwanda's (NUR) School of Journalism and Communication (SJC) was established in 1996. The SJC is currently offering four-year undergraduate degree programs in journalism and more generally in communications. There are currently 150 students enrolled in these programs, and in 2009 the SJC expects its overall student body to increase to approximately 200. The overwhelming majority of the graduates from this program currently do not pursue careers as journalists. The program is based in Butare, on the main NUR campus.

To complement its undergraduate offerings, the NUR also manages the Kigali-based Great Lakes Media Center (GLMC) for training journalists currently working for public and private media houses. The GLMC recently developed a two-year certificate program designed to provide practical training that aligns with internationally accepted best practices and professional standards in journalism. This two-year program currently has an annual intake of thirty new students every January, with the student body doubling from 30 to 60 in January 2009. In order to participate in this program, applicants must have at least five years experience in the media, and submit their resume and a letter of recommendation from their current employers. The selection committee considers gender balance and public and private media outlet representation when admitting applicants to the program.

GLMC classes usually meet in the evenings and on weekends, since students have full-time jobs in various media outlets. Students are expected to pay for their own transport to and from the teaching venue. They are also expected to contribute more than 100,000 Rwandan francs (RWF, approximately $185) to an overall tuition cost of 300,000 RWF per student, for which the Ministry of Information pays the difference. In addition to local instructors from the NUR, the GLMC invites international instructors to Rwanda to teach intensive classes, usually lasting from several weeks to two months. Many of these instructors donate their time, with travel and local living expenses paid for by donors. Class frequency depends on the time that international instructors have to offer a short course. Usually, when an international instructor is teaching, he or she complements the work of local instructors, and classes can meet as many as four to five times a week (including weekends). This program is co-funded by the Ministry of Information and the National University of Rwanda, with support for international instructors coming from outside sources (see section on Donor Coordination for more information).

In the draft media law described below, all practicing journalists will be required to complete one of these programs in order to be officially accredited by the GOR, which will be a prerequisite to practicing journalism, though in drafts of the law there was a grandfather clause of three years for journalists to be accredited.

In addition to the undergraduate NUR program, the Catholic University in Kabgayi recently started a Journalism and Communications program, offering day and evening courses to its students.

As of mid-December, a draft media law was in the lower chamber of Parliament after being reviewed by the Senate. Once the draft law leaves the legislative branch, it will go to the President’s Office for signature before being officially gazetted. This law covers a broad range of media issues, including freedom of expression, independence of the press, restrictions/laws governing media, and licensing fees for media. Early drafts benefited from input from stakeholders in the media sector, including the High Council of the Press and the Stanhope Center for Communication and Policy Research. The law is expected to regulate the media industry in Rwanda by, for example, providing guidance on journalist accreditation requirements.

This law is especially important given the increasing number of media outlets in the country. For example, in 2007, the Ministry of Information registered 57 newspapers, with only 37 able to publish at least a single issue during the year. During the same year, there were 17 radio stations and one television station in operation.[3]

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[3] See the High Council of the Media’s “Report on the State of Media in Rwanda-2007”. This report has detailed information on the media outlets officially registered and operating in the country as of 2007. This is the most recent source of government data available.

There are a number of documents that provide an overview of the expanding media sector in Rwanda, and that provide more detail on challenges that this sector faces. For example, IREX (see www.irex.og), Freedom House (www.freedomhouse.org), the Committee to Protect Journalists (www.cpj.org) and Reporters Without Borders (www.rsf.org), all track media freedoms in countries throughout the world. Rwanda's High Council of the Media published a "Report on the State of Media in Rwanda-2007" that provides an overview of changes in the media sector during calendar year 2007 (see www.hcp.gov.rw). The local NGO *Ligue des droits de la personne dans les grands lacs* (LDGL) released a report in March 2007 entitled *« Etude sur la pratique journalistique au Rwanda et la question de la mission sociale des journalistes»* (www.ldgl.org) and the international Stanhope Centre for Communications and Policy Research also issued its own "State of the Media" report in September 2008 (http://stanhopecentre.org).

Overall, the establishment of an enabling legal environment for the media sector, coupled with the professionalization of media practitioners at all levels, play crucial roles in upholding democratic values, improving the transparency and accountability of government, and helping to provide a meaningful and productive interaction between government and civil society. They are also necessary for achieving the MCC Rwanda Threshold Program goal of positively impacting the three Ruling Justly indicators: Rule of Law, Civic Participation and Voice and Accountability.

VI. Work Requirements by Objective

Objective 1: ***Increase the sustainability of Rwandan media outlets and the professionalism of Rwandan journalists, media owners, managers, and editors***

This project will focus on community and/or news-oriented radio and the print media. To the greatest extent possible, the implementer shall develop interventions that transfer skills and information to media sector beneficiaries that are readily translated into practice.

Capacity Building for Media Professionals

The transfer of skills and knowledge to journalists, publishers, media owners, managers, and editors shall result in increased knowledge and capacity in the following areas:

- Media business management necessary to establish and/or sustain for-profit private media organizations (developing media advertising, financial management, low-cost audience research, how to expand newspaper circulation, etc.);
- The rights, responsibilities, and ethics of the practice of journalism;
- Ways to build an effective dialogue between media owners and government about issues impacting the media;
- The importance of promoting an independent, professional media to a democratic society;
- Research techniques for journalists in the investigation of government activities of public and national interest, with a particular focus on media coverage of local public affairs;
- Long-term, in-depth, research techniques that result in high-quality stories characterized by objectivity and accuracy;
- Topical research skills focusing on issues related to the Rwanda Threshold Program, including but not limited to civil rights and liberties, the rule of law, government effectiveness, corruption, legal reform, and police performance;
- The development of training and capacity building programs that are continued beyond the life of this project;
- The interpretation of national and local budgets;

- Techniques in managing the professional relationship between journalists and media owners and editors;
- Finding, evaluating, and protecting news sources;
- Interviewing skills;
- Responsible and balanced coverage of elections, as well as election laws, election procedures, and other civic education issues relating to elections processes;
- The new media law and its impact on the practice of journalism in Rwanda;
- Strategies and techniques for working with non-governmental organizations, the private sector, and law enforcement; and
- Internet research, networking, and web media.

Establishment of Community Radio Stations

In order to facilitate greater access to information at the local level, there is a need to develop sustainable community-level media outlets. As specialized civil society organizations (CSOs), these media outlets have strong potential to influence public policy and educate citizens. However, financially viable media outlets in rural areas are rare because they face the same limitations in their financial sustainability and internal business capacities as do other CSOs. The GOR wants to promote community radio stations in rural areas in order to enhance citizen engagement and empowerment. In support of this GOR goal, this project will support the establishment of and provide technical assistance and training to two independent community radio stations. This activity is envisioned to constitute no more than 20 percent of the overall project budget.

The implementer shall work closely with the GOR and USAID/Rwanda to determine where to establish these radio stations. Choosing the location of the stations is a strategic decision that will have a long-term impact on their sustainability beyond the life of the project: there needs to be strong community interest in, and support for the stations; and they should be located in relatively densely rural areas that facilitate easy community access by foot. In addition, well-placed community radio stations often serve as information resource centers for local communities.

Once the stations are established, the implementer shall develop a range of interventions that facilitate the transfer of skills and knowledge to community radio staff. These interventions shall result in increased knowledge and capacity in the following areas:

- Ways to productively work with district-level bodies, such as economic development commissions and Joint Action Development Forums, to publicize community meetings, report their proceedings and results, and gather and report on citizen opinion and concerns on a range of issues of interest to citizens;
- Effective monitoring and evaluation of local government service delivery;
- Approaches to effective interactions between community radio staff and officials;
- Personnel, finance and general management and governance, including broadcast scheduling, staff and volunteer management; and
- Economic self-sustainability, exposing staff to cost-cutting as well as revenue-generating possibilities including, but not limited to: community and personal announcements; sponsored programs (often by development-oriented CSOs); paid public service announcements (PSAs; commercial advertising; and special community events.

The implementer’s work with the two new community radio stations should be coordinated with other media/professional training activities under the Threshold Program, possibly including training, co-production, networked distribution of radio news and public affairs programming. In addition to developing interventions focusing on radio reporters (journalists), news anchors, and station managers, the implementer shall also propose interventions that target live talk show hosts (*animateurs*), who are very popular among radio listeners throughout the country. The implementer shall also explore, if more cost-effective and sustainable, the possibility of affiliating one or both community radio stations with private media outlet(s) in the country. Given the focus of the civic participation component of the Rwanda Threshold Program, the implementer shall specifically coordinate its activities with the MCC Threshold Program Civic Participation project. For a draft version of the civic participation RFP, consult www.fbo.gov and search for Pre-solicitation Notice #696-RW-09-002, entitled "DRAFT SOW – MCC Threshold Program - Strengthening Civic Participation in Rwanda."

To ensure that the newly established community radio stations will be sustained beyond the life of the project, the GOR will provide a suitable place for the stations to be housed and pay the electricity costs for station operations. Other costs incurred by the stations could be covered by advertising revenues from commercials and community announcements.

Representatives from the National University of Rwanda, the GLMC, professional media associations, and other media-related CSOs should be included in activities when feasible, cost-effective, and appropriate.

<u>Objective 2</u>: ***Increase the capacity of media associations to provide appropriate services to their members and to effectively engage with government in the interests of their members***

Rwanda's professional media associations lack the resources and organizational capacity to provide appropriate guidance and training to journalists on ethics and responsibilities and to effectively engage with government on issues impacting the media sector. The project will support media associations in Rwanda, including, but not necessarily limited to, the Association of Rwandan Journalists and the Rwandan Press House.

The Association of Rwandan Journalists (ARJ) is a registered, non-profit organization founded in 1995 with a current voluntary membership of approximately 200 journalists. The organization depends on individual journalist membership dues as its primary source of revenue. Given the number of independent journalists operating in the county without regular income, and low compensation levels for journalists with full-time jobs with operating media outlets, collecting dues has been a major challenge for the ARJ secretariat. The association has three objectives: protection of and advocacy for Rwandan journalists, promotion of press freedom, and capacity building and training for journalists. In other countries, associations such as the ARJ are meant to advocate on behalf of journalists and set internationally accepted standards for quality journalism and professional integrity. ARJ is an associate member of the International Federation of Journalists (IFJ) and a member of the East African Journalist Association. It is pursuing full membership of the IFJ, contingent on meeting some additional organizational requirements.

The Rwandan Press House (RPH) is a registered nonprofit organization for media houses, including newspapers, radio stations, and television stations. The organization is ten years old, with a membership of over thirty outlets. RPH leadership is currently working with its members in the development of its strategic plan. Overall, the organization is dedicated to the development of a free and responsible media in Rwanda, and it has undertaken several initiatives to improve the quality of journalism, including providing access to computers and internet service for journalists to prepare their articles, organizing courses on topical issues, and providing temporary office space to journalists. The organization has received support from Panos Institute/Paris in the past, which supported the publication of one issue of the newspaper *Solidarite*, which included articles by journalists across the media fraternity.

Both of these organizations differ from the High Council of the Media (HCM), formerly known as the High Council of the Press (HCP), which is a constitutionally mandated organization focusing on media issues, including regulation and oversight of media outlets and the role of the media in elections processes. A code of conduct and ethics for journalists developed by the HCM can be found on their website (see: http://www.hcp.gov.rw/pages/coden.htm)

The implementer shall develop a range of interventions that facilitate the transfer of skills and knowledge to professional media associations. These interventions shall result in increased knowledge and capacity in the following areas:

- Building the capacity of local media associations to train media professionals;
- Ways to enhance organizational management and business capacity in order to achieve sustainability and independence;
- Strategies for productive engagement with government to advocate for the interests of media practitioners on issues such as the media law, the freedom of information law, and government policy and activities relevant to the practice of journalism and media freedom more generally;
- Public education strategies on the role of the media in a democratic society and the rights and responsibilities of journalists; and
- Investigative reporting and the importance of quality research.

In addition, the implementer shall provide support to media associations to engage in a broad-based consultative process in order to develop a code of ethics for journalists, building on the work already done by the HCM. Once the code of ethics has been finalized, the implementer shall support efforts by media associations to disseminate the document to civil society actors and government, and sensitize media practitioners and the general public concerning its contents.

After disseminating the code, the implementer shall provide support that enables media associations to conduct ongoing monitoring of journalist conduct, ethics and professional responsibility. For example, the implementer could support efforts by associations to conduct queries of limited scope on violations of the code of conduct, and, where warranted, bring such violations to the attention of the offending journalist and the media outlets which published the stories concerned.

VII. Donor Coordination

There are a number of donor-funded activities in the media sector currently being implemented, with other initiatives still in the planning stages. The European Commission (EC) is in the process of designing a program that will focus on professionalizing the media. They are actively communicating with other donors (including USAID/Rwanda) to assure that any new programming harmonizes with other planned or existing activities. In addition, the EC is currently supporting a capacity building program for the League for Human Rights in the Great Lakes Region (LDGL), with a particular focus on training journalists to report on legislative and judicial issues, and it is partnering with UNESCO on a community radio project.

The Rwanda Initiative is a journalism program funded by Canada's Carleton University and the Canadian Embassy that aims to help enhance the capacity of the news media in Rwanda through a partnership between Carleton University's School of Journalism and Communication and its counterpart at the National University of Rwanda (NUR). In addition to a visiting lecturer program at the NUR Butare School of Journalism and the Great Lakes Media Center, there is also an internship program for Carlton and NUR journalism students, and a mentorship program that places Canadian media professionals at media houses in Rwanda.

Swedish SIDA is funding a regional media professional exchange program which involves journalists from Rwanda, Burundi and the Democratic Republic of the Congo, and similar to the EC, it is exploring other funding possibilities in the media sector.

The United Nations Development Program and DfID are jointly funding a project designed to strengthen the High Council of the Media's capacity to develop and implement interventions that improve the professionalism and accountability of journalists. DfID is also supporting the attachment of media professionals to media houses in Rwanda, and it is developing a regional media activity that will focus on sharing information between Rwandan, Burundian and Congolese journalists on how they report on each other. Switzerland is also supporting two regional activities that focus on promoting dialogue and exchange among journalists from Rwanda, Burundi and the Democratic Republic of the Congo.

The Netherlands is in the final stages of implementing a journalism project that focuses on coverage of human rights issues in the press.

VIII. Linkage to US Government Priorities and USAID Strategy

In Rwanda, the U.S. Agency for International Development (USAID) focuses on health, economic growth, and democracy and governance. USAID's programs are outlined below. To the greatest extent possible, the implementer shall closely coordinate its activities with these USAID/Rwanda programs, specifically focusing on:

- Other USAID/Rwanda Democracy and Governance activities that contribute to project objectives;
- Other activities being implemented as part of Rwanda's Threshold Program that focus on deepening civic participation in rural communities, strengthening the judiciary, and enhancing the internal affairs capacity of the Rwanda National Police; and
- Other USAID/Rwanda and/or U.S. Government interventions outside of the Democracy and Governance sector and Rwanda's Threshold Program implementation where coordination is needed or could be helpful in achieving the results of both activities, for example funded by the President's Emergency Plan for AIDS Relief (PEPFAR).

Improving Health Care

In the area of health, USAID/Rwanda programs work to reduce maternal and neonatal mortality; improve the quality and sustained use of family planning; reduce malnutrition among children; provide treatment and prevent the transmission of HIV/AIDS, tuberculosis, and malaria; and ensure access to decentralized health care. USAID/Rwanda also supports community-managed pre-paid health insurance schemes (*mutuelles*), in part because a *mutuelle* member is five times more likely to seek modern health care than a non-member.

In 2004 Rwanda began full implementation of the President's Emergency Plan for AIDS Relief (PEPFAR), and the U.S. is Rwanda's largest funder of HIV/AIDS programs. Under PEPFAR, USAID/Rwanda supports prevention of mother-to-child transmission of HIV/AIDS; provision of voluntary counseling and testing services, care, and treatment; and provision of psycho-social services to people living with HIV/AIDS, orphans, and other vulnerable people. Under the President's Malaria Initiative, which began in Rwanda in 2007, USAID/Rwanda's program—implemented in close coordination with Rwanda's government—focuses on malaria in pregnant women; indoor residual spraying of homes in designated districts; distribution of long-lasting, insecticide-treated bed nets; life-saving drug therapy; and case management of malaria at health facilities and at the household level.

Promoting Rural Economic Growth

USAID/Rwanda's economic growth program expands agribusiness opportunities in the specialty coffee and the dairy sectors. For example, in 2000 no specialty coffee was exported from Rwanda; in 2007, annual export revenue from this sub-sector has grown from zero to $8 million; and Rwandan specialty coffee has been featured by Starbucks and Green Mountain Coffee as their "best of the best." In the dairy sector, USAID/Rwanda provides technical assistance to the Rwandan dairy industry to enhance its competitiveness through increased efficient and profitable flow of quality milk, dairy products and related inputs and services through the dairy value chain. In addition, the program seeks to expand access to economic opportunities for vulnerable populations through integrating people living with HIV/AIDS, orphans and other vulnerable children into dairy-related income-generating activities. Furthermore, USAID/Rwanda supports Rwanda's eco-tourism in Nyungwe National Park by working to increase the number of visitors to the park, conserve the biodiversity, and improve the livelihoods of Rwandans surrounding the park.

USAID/Rwanda also provides food assistance to food insecure households. The assistance provides a safety net to HIV/AIDS-infected people, orphans and other vulnerable people. Food aid activities contribute to employment, improved agricultural technologies, agri-business development, incomes, and food security. To date, over 850,000 Rwandans have benefited from the U.S. food assistance.

Democracy and Governance Program

Health Decentralization

- Twubakane: This five-year project (2005-2010), implemented by Intrahealth, focuses on strengthening the capacity of local governments and communities to improve health service delivery in twelve districts in Rwanda. It has the following components: 1) family planning and reproductive health; 2) child survival, malaria and nutrition; 3) decentralization policy, planning, and management; 4) district-level capacity building; 5) health facilities management and *mutuelles*; and 6) community engagement and oversight.
- Community HIV/AIDS Mobilization Project (CHAMP): This PEPFAR-funded project (2005-2009) implemented by CHF International receives a small amount of DG funding. It enables Rwandan communities to access HIV and AIDS services in twenty districts through support to local CSOs.

Conflict Mitigation and Reconciliation

- National Unity and Reconciliation (NURC): This three-year project (2005-2008) is implemented by the International Rescue Committee to support design and development of annual social cohesion opinion surveys by the NURC that measure the impact of governmental initiatives on public opinion and the status of social cohesion.
- Conflict Transformation Radio: This two-year project (2007- 2009) is implemented by Search For Common Ground and supports the production and broadcast of a weekly interactive radio program for the youth of Rwanda, eastern DRC and Burundi, specifically focusing on understanding conflict in the region and finding ways to build lasting peace as well as a girls radio program broadcast in Rwanda.
- Peace building and Dialogues in Conflict Transformation: This four-year (2008-2010) project (2008-1010) is implemented by the Institute of Research and Dialogue for Peace and supports the development of permanent debate platforms at the national, provincial, and local levels, as well as the Rwandan diaspora, in post-conflict dialogue.

Justice Sector

- Legal Aid: This four-year project (2008-1012), implemented by *Avocats Sans Frontières* (ASF), supports the establishment of a two permanent legal advice centers and mobile legal advice to residents and prisoners in three prisons.
- Legislative Process Strengthening Project: This is 18-month project (2008-2009) is implemented by ARD, Inc. and focuses on improving the quality of legislative drafting, with special reference to PEPFAR target populations. The program is primarily targets the executive branch's role in the legislative process by partnering with the Ministry of Justice, other ministries, and civil society.

Elections and Political Processes

- Political Party Strengthening: This one-year project (2008-2009) is implemented by the National Democratic Institute and aims to strengthen political parties in Rwanda by supporting and reinforcing mechanisms that promote inter-party dialogue and building political parties' capacity to organize, communicate and reach out to constituents.

Relevant Mission-Wide Cross-Cutting Projects

- Youth Project: This five-year project (2008-2013) will be implemented by Educational Development Center to provide support for young people to develop the skills and attitudes necessary to find jobs or create their own employment, as well as to maintain healthy lifestyles and participate constructively in their communities.

USG Foreign Assistance Framework

This project directly addresses the following U.S. Government (USG) Foreign Assistance program element and sub-elements.

Program Element 2.4.2: Media Freedom and Freedom of Information
Definition: Establish and/or develop a broadly functioning independent media sector, which is a crucial factor in democratic governance. Building this sector is accomplished through such activities as providing infrastructure and equipment to ensure access to information, shaping the media legal and regulatory environment, boosting professional capacity of the media sector, promoting sustainability through encouraging media-related business development and sound financial/management practices, and supporting advocacy and networking among media sector organizations.

Sub-Element 2.4.2.1: Enabling Environment for Independent Media
Sub-Element 2.4.2.2: Professional and Institutional Capacity
Sub-Element 2.4.2.3: Media Sustainability
Sub-Element 2.4.2.4: Media-sector CSOs and Other Support Institutions
Sub-Element 2.4.2.5: Private, Public and/or Community Media Outlets and Infrastructure
Sub-Element 2.4.2.6: Government Communications

IX. Monitoring Activities

Support the Professionalism of the Media Sector and Promote Community Radio

Measuring Success

Overall project success will be measured by the following two targeted outcomes in addition to the MCC indicators described in this program description:

1. Rwanda's professional media associations are perceived to actively represent the interests of journalists; and
2. Journalists report having equal access to information.

Monitoring

Outcomes one and two will be measured by an annual survey of journalists and other key media stakeholders that will be conducted to determine the perceptions journalists of the extent to which their interests are actively represented by professional media associations and journalists' relative access to information. Outcome three will be measured by improvement in the Freedom House Index and outcome five will be measured by the IREX Media Sustainability Index. Outcome four will be measured by direct observation.

Other Expected Outcomes

- Improvement in the Freedom House Press Index;
- Improvement in the IREX Media Sustainability Index;
- Greater media outlet sustainability for targeted outlets;
- Increased professionalism of journalists and editors; and
- Enhanced capacity of media associations.

X. Key Personnel

The Chief of Party position is required and is key personnel position. The implementer shall recruit as many local staff as necessary to complement the work of the Chief of Party.

The *Chief of Party* should have the following experience:

- Hold a relevant advanced degree from an accredited university;
- Have a minimum of 5 years of progressive work experience in the media sector, with particular expertise in managing high-profile projects that focus on the transfer of media skills and knowledge to journalists, editors, managers, and media outlet owners;
- Have demonstrated ability to assess capacity building needs; develop appropriate and innovative capacity building programs (broadly defined), and evaluate the effectiveness and impact of these interventions;
- Experience in working in the media sector in foreign countries, preferably Rwanda or a similar setting in Africa, is highly desirable; and
- Professional proficiency (FSI Speaking level 3/Reading level 3 equivalent) of the English language is required
- University level (FSI S2/R2 equivalent) of French, Kinyarwanda or Swahili is highly desired.
- Must know and be able to effectively use word processing and data management systems and applications, including Microsoft Windows, Word, Excel, and Internet and email applications; must also be able to effectively use and teach others on how to use relevant specialized media equipment and software (for example, story editing, broadcast and digital audio editing software).

There is also need for staff expertise in establishing community radio stations, and in managing sustainable private media houses. Knowledge of Kinyarwanda is required for at least one staff member who focuses on the community radio component. The implementer shall determine if the Chief of Party will have this expertise, or if they will rely on local staff or short-term technical advisors to meet this need.

XI. Supervision

The implementer shall work under the general guidance of the designated USAID/Rwanda Cognizant Technical Officer (CTO) for the project.

XII. Reports and Deliverables or Outputs

A. Annual Work Plans

Within the first 45 days of the signing of an agreement, the implementer shall submit its first annual work plan to the USAID/Rwanda CTO for approval. This work plan will be for the first year of performance. The work plan for the second year of the project shall be submitted on or before the anniversary date of this agreement. Work plans shall be developed collaboratively with the GOR and USAID/Rwanda and shall describe the activities and interventions required to meet the agreement deliverables, including:

- Proposed activities for the given year;
- Corresponding time frame for implementation of proposed activities;
- Detailed budget for implementation;
- Information on how activities will be implemented in a collaborative and coordinated manner with other USG Agencies, USAID implementing partners, and GOR counterparts;
- Update the work plan on a quarterly basis the previous quarter's progress, challenges, and proposed activities towards achieving outputs; and
- Proposed annual accomplishments and progress towards achieving project targets.

B. Quarterly, Annual, and Intermittent Progress Reports

Annual Reports: The implementer shall submit Annual Narrative and Financial Performance Reports to USAID/Rwanda for the fiscal year covered within 30 days of the close of the fiscal year. The implementer shall submit one original to the CTO, with a e-copy vie email attachment to the Agreement Officer. Electronic submissions are required, and the performance reports shall contain information in accordance with the monitoring and evaluation plan approved by the Cognizant Technical Officer.

Quarterly Financial and Narrative Reports: Quarterly expenditure and narrative reports are due within two weeks of the end of the quarter, and an annual expenditure report is due within 30 days of the end of the fourth quarter.

Periodic or Special Reports: The implementer shall prepare periodic reports on areas or themes as needed by USAID/Rwanda or MCC to document processes and results.

Trip Reports: The implementer shall submit the scopes of work for all consultants conducting business in Rwanda for the project. The implementer must submit a draft report prior to the departure of the consultant and a final report is due within two weeks of the last day of assignment.

Meetings and Communication: The implementer shall be responsible for attending regular and specially called meetings with USAID/Rwanda, GOR stakeholders, MCC representatives, and possible Embassy officials; on occasion they will be expected to provide updates, or respond to specific questions regarding project implementation. All project-related communications shall be with the CTO and other relevant personnel at USAID/Rwanda as directed by the CTO.

All reporting under this agreement will be in English.

SECTION D - CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS [1][2]

[To be submitted as part of an Applicant's cost application. To be signed by an authorized agent of the applicant at the end of this Section D.]

The following certifications, assurances and other statements are required from both U.S. and non-U.S. organizations (except as specified below). The required certifications, assurances and other statements follow:

a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**. This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States;

b. A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see **22 CFR 227**);

c. A signed copy of the "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries, as detailed in **ADS 206.3.10;**

d. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference **AAPD 04-14**;

e. When applicable, a signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking" (See **ADS 206)**;

f. When applicable, a signed copy of "Participant Certification Narcotics Offenses and Drug Trafficking" (See **ADS 206);**

h. All RFAs must include the **Survey on Ensuring Equal Opportunity for Applicants**; and

i. All applicants must provide a Data Universal Numbering System (DUNS) Number (see **Federal Register Notice Use of a Universal Identifier by Grant Applicants).**

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 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned 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, Osama 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, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

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 - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."

Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:

"[Recipient's name] certifies compliance as applicable with the standard provisions entitled "Condoms" and "Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking" included in the referenced agreement."

RFA/APS No. ____

Application No. ____

Date of Application ____

Name of Applicant/Subgrantee __________________________________

Typed Name and Title ______________________________________

____

Signature ____

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFAs 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.)

PART VI - 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 ____________________________

(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 ____________________________
QUANTITY ____________________________
ESTIMATED GOODS ____________________________
PROBABLE GOODS ____________________________
PROBABLE (Generic ____________________________
UNIT COST ____________________________
COMPONENTS ____________________________
SOURCE ____________________________
COMPONENTS ____________________________
ORIGIN ____________________________

(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 ____________________________
QUANTITY ____________________________
ESTIMATED ____________________________
PROBABLE ____________________________
INTENDED USE (Generic) ____________________________
UNIT COST ____________________________
SOURCE ____________________________
ORIGIN ____________________________

(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 ________________________________
QUANTITY ________________________________
ESTIMATED ________________________________
PROBABLE SUPPLIER ________________________________
NATIONALITY ________________________________
RATIONALE (Generic) ________________________________
UNIT COST (Non-US Only) ________________________________
FOR NON-US ________________________________

(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 ________________________________

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 loc al 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.

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: ____________________

Applicant's DUNS Number: ____________________

Grant Name: ____________________ **CFDA Number:** __________

1. Does the applicant have 501(c)(3) status?

☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-12 ☐ over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐ Less than $150,000
☐ $150,000 - $299,999
☐ $300,000 - $499,999
☐ $500,000 - $999,999
☐ $1,000,000 - $4,999,999
☐ $5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes ☐ No

5. Is the applicant a non-religious community based organization?

☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

3. Annual budget means the amount of money our organization spends each year on all of its activities.

4. Self-identify.

5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.

6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.

8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

OMB No. 1890-0014 Exp. 1/31/2006